
Subject: Internal Audit Service Delivery Model

Report to: Audit Committee

Report date: Monday, February 14, 2022

Recommendations

1. That Report CAO 3-2022 **BE RECEIVED** for information.

Key Facts

- The purpose of this report is in response to a Regional Council inquiry, and is intended to provide background and chronological information with respect to the rationalization of Internal Controls and Organizational Performance Division (ICOPS) and specifically the current state of the Region's model of service delivery for Internal Audit.
- The rationalization of ICOPS did not result in the elimination of the Region's internal audit function.
- Early in 2020, consistent with the direction recommended by KPMG and approved by Regional Council, the service delivery model for Internal Audit was altered such that the work plan would now be developed in consultation with the Audit Committee by the Manager of Audit (internal role), and that the majority of detailed audit and analysis work would be undertaken by external, third party professional services firms retained through a competitive procurement process.
- The use of third party professional services firms, working in conjunction with Regional staff, was suggested as a potential opportunity in order to supplement the Region's internal capabilities with requisite specialty skills (e.g. cybersecurity) while at the same time achieving cost savings.
- While this model has been employed for the 2020 and 2021 audit work plans, the delivery of work plan projects was impacted by COVID-19. In 2021, an internal review of purchase cards (P-cards) and RFP for the Cyber Audit project were completed.
- The departure of the Manager of Audit in November 2021 has impacted development of the 2022 work plan.

Financial Considerations

The rationalization of the Internal Controls and Organizational Performance Division (ICOPS) in 2019 resulted in a net reduction of 8 FTE's and an annual Operating Budget reduction of approximately \$750k. These savings were utilized to mitigate the tax levy increase for 2020. This rationalization / restructuring did not result in the elimination of the Region's Internal Audit function. The service delivery model for Internal Audit was altered such that the work plan would now be developed in consultation with the Audit Committee, senior staff, and other stakeholders (NRPS, NRH, LAMs) by the Manager of Audit (internal role), and that the majority of detailed audit and analysis work would be undertaken by external, third party professional services firms retained through a competitive procurement process. The use of third party professional services firms working in conjunction with Regional staff was suggested as a potential opportunity in order to supplement the Region's internal capabilities with requisite specialty skills (e.g. cybersecurity) while at the same time achieving cost savings. Should Council wish to alter the service delivery model again in a way that increases internal resources, there will be Operating Budget pressures that will need to be considered.

Analysis

The firm KPMG LLP was retained by Niagara Region through 2018-RFP-67 to conduct an independent line-by-line review of the Region's operations (Service Sustainability Review) in an effort to identify opportunities for cost savings which could be used to help reduce the Region's infrastructure deficit. Regional Council received an open session overview of this work, titled Opportunities Analysis (attached as Appendix 2), from KPMG at a Committee of the Whole meeting held on November 7, 2019. That presentation included an extensive discussion regarding discretionary opportunities that did not have either labour relations or employee negotiations implications. Regional Council then convened in Closed Session to receive a presentation and consider a series of recommendations that did have labour relations and/or employee negotiations considerations. The rationalization of Internal Controls and Organizational Performance (ICOPS) was one of those recommendations.

Confidential Report CSD 73-2019 (attached as Confidential Appendix 6) was considered by Regional Council, in Closed Session, at the Committee of the Whole meeting held on November 7, 2019. The rationalization of Internal Controls and Organizational Performance (ICOPS) was approved through this report. Confidential CSD 73-2019 included executive summaries, conclusions and recommendations of the Service Sustainability Review, completed by KPMG. Mr. Oscar Poloni, Partner, KPMG, also

provided a confidential presentation in closed session summarizing the same and answered several questions regarding his report and recommendations. Mr. Poloni recently authored a letter (attached as Confidential Appendix 3) that confirms the content of that presentation and reasserts the recommendations made at that time. The detailed Business Case prepared by KPMG in November of 2019 supporting the recommendation for the rationalization of ICOPS (attached as Confidential Appendix 4) included figures that illustrated the recommended organizational structure, reporting relationships as well as a table indicating specifically the KPMG recommended staffing reductions.

In response to comments that have been made periodically at Council meetings, the rationalization / restructuring of ICOPS did not result in the elimination of the Region's Internal Audit function. The service delivery model for Internal Audit was altered such that the work plan would now be developed in consultation with the Audit Committee by the Manager of Audit (internal role), and that the majority of detailed audit and analysis work be undertaken by external, third party audit firms retained through a competitive procurement process. In fact, the majority of changes and reductions in FTEs were in business lines of ICOPS that were not Audit related. Report CAO 18-2020 (attached as Appendix 5) was prepared in response to a Regional Council inquiry. This report comprehensively described organizational structure and FTE changes from 2011 through to 2020 and has been included as a broad contextual reference. This report included specific reference to the creation of the ICOPS Division by the former CAO as well as the rationalization undertaken in 2019.

This new service delivery model was used in 2020 with the inclusion of projects that were underway. This included the Procurement audit and the Benefits audit. Both of these engagements utilized third party experts. In 2021, the Manager of Audit completed a follow up audit on the use of Regional purchasing cards. Similarly, he managed the RFP process for cyber audit, which was the primary request of Audit Committee members for 2021. Lastly, the engagement of Audit Committee Members on the 2022 work plan was deferred until the completion of the recruitment of the Manager of Audit. This recruitment was well underway at the time of the writing of this report and it is the intention that once this process is concluded that a 2022 audit work plan will be developed and presented to Audit Committee for consideration.

Alternatives Reviewed

No alternatives were reviewed through the preparation of this report as it is intended to provide background and chronological information.

Relationship to Council Strategic Priorities

The initiatives outlined in this report directly support Council's 2019-2022 Strategic Priorities by advancing the following strategic objectives:

Sustainable and Engaging Government

Objective 4.1 High Quality, Efficient and Coordinated Core Services

Other Pertinent Reports

- Region of Niagara Service Sustainability Review, Opportunities Analysis, Presentation to the Committee of the Whole, November 7, 2019
- Confidential CSD 73-2019 – A Matter Respecting Labour Relations or Employee Negotiations: Niagara Region Service Sustainability Review, November 7, 2019

Submitted by:

Ron Tripp, P. Eng.
Chief Administrative Officer

This report was prepared in consultation with Todd Harrison, Commissioner of Corporate Services and Franco Meffe, Director of Human Resources.

Appendices

Appendix 1	Regional Council Resolution, November 7, 2019
Appendix 2	Region of Niagara Service Sustainability Review, Opportunities Analysis, Presentation to the Committee of the Whole, November 7, 2019
Appendix 3	Confidential - Correspondence from KPMG LLP, re. Region of Niagara Service Sustainability Review, February 9, 2022
Appendix 4	Confidential - KPMG Service Sustainability Review, Business Case Analysis, Rationalization of Internal Controls and Organizational Division, November 6, 2019

Appendix 5	CAO 18-2020 – Organizational Structure Overview 2011-Present, July 23, 2020
Appendix 6	Confidential Report CSD 73-2019 - A Matter Respecting Labour Relations or Employee Negotiations: Niagara Region Service Sustainability Review, November 7, 2019

Excerpt from Committee of the Whole Minutes November 7, 2019:

9.1 Confidential CSD 73-2019

A Matter Respecting Labour Relations or Employee Negotiations: Niagara Region Service Sustainability Review

Moved by Councillor Gale

Seconded by Councillor Disero

That Confidential Report CSD 73-2019, dated November 7, 2019, respecting A Matter Respecting Labour Relations or Employee Negotiations: Niagara Region Service Sustainability Review, **BE RECEIVED** and the recommendations therein **BE APPROVED**, as amended.

Carried

This recommendation was ratified by Regional Council at its meeting held on November 14, 2019.



Region of Niagara Service Sustainability Review

Opportunities Analysis

Presentation to the
Committee of the Whole

November 7th, 2019



Agenda

- Introduction
- Key Themes
- Next Steps

Introduction

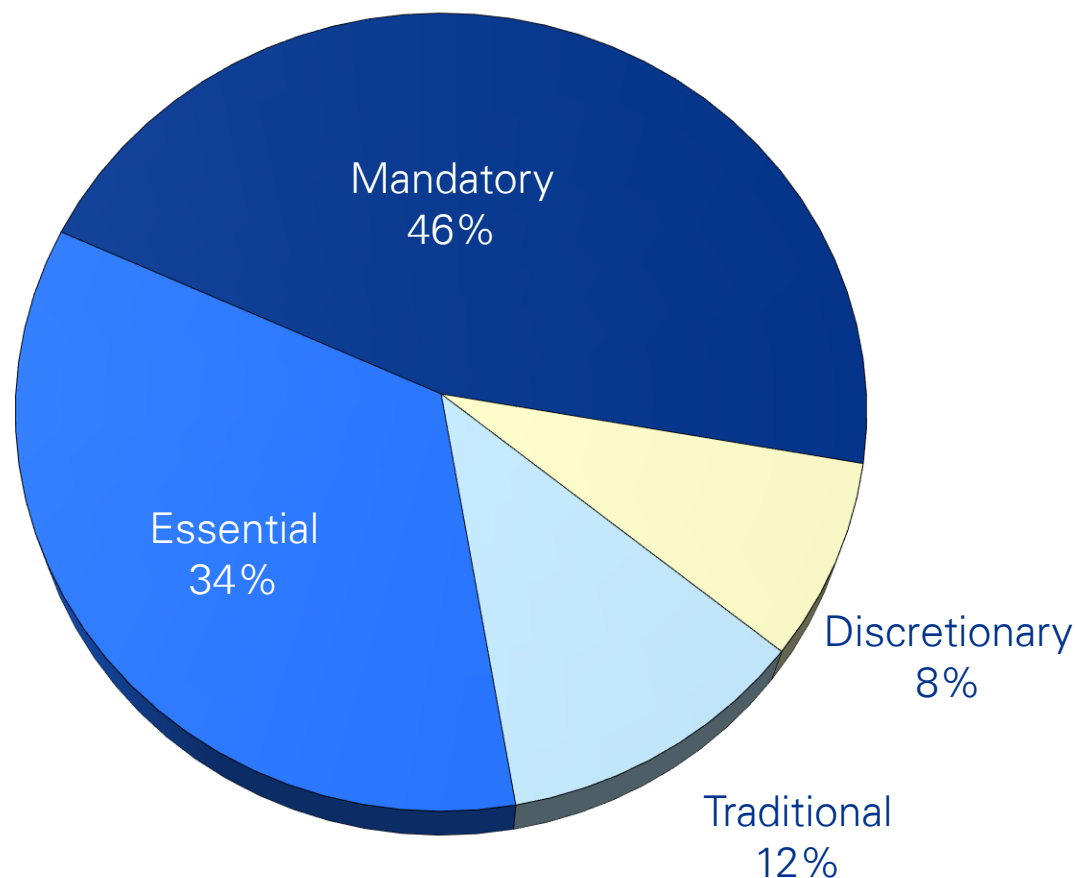
- Over the last nine months, KPMG has been working with Regional personnel on the Region's service sustainability review
 - Service profile development
 - Benchmarking
 - Key performance indicators
 - Opportunities for cost reductions
 - Business case development
- The purpose of today's presentation is to provide Council with an update on the review and next steps

Key Themes

- Discretionary services are more the exception than the rule

The Region's Services by Basis of Delivery

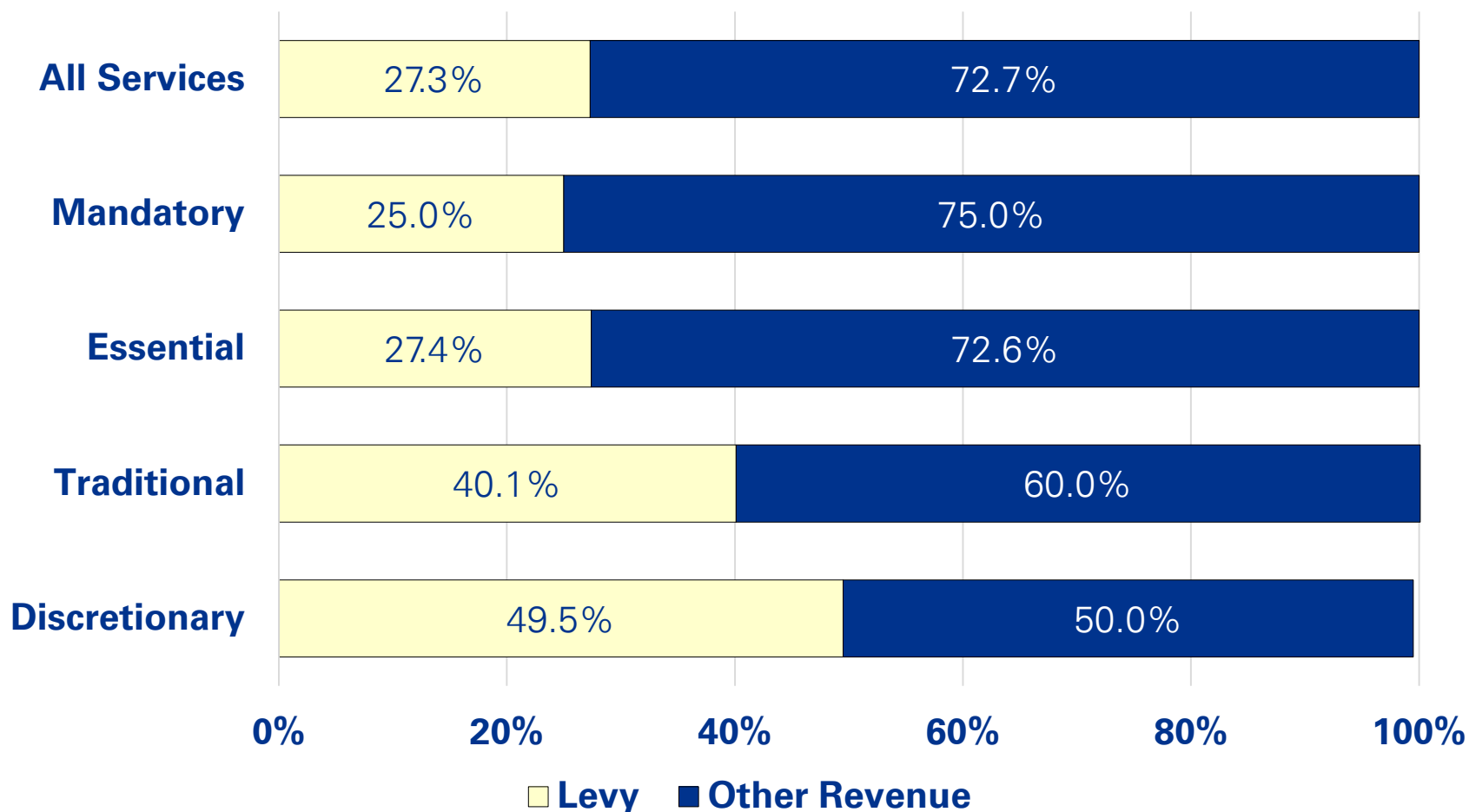
Number of Services



- **Mandatory** – Services that are required to be delivered by regulation or legislation
- **Essential** – Services that, while not mandatory, are required to be delivered in order to ensure public health and safety and/or the effective functioning the Region as a corporate body
- **Traditional** – Non-mandatory, non-essential services that are typically delivered by municipalities of comparable size and complexity and for which a public expectation exists that the service will be provided
- **Other Discretionary** – Services that are delivered at the direction of the Region without a formal requirement or expectation

The Region's Services by Basis of Delivery

Funding by Type of Service



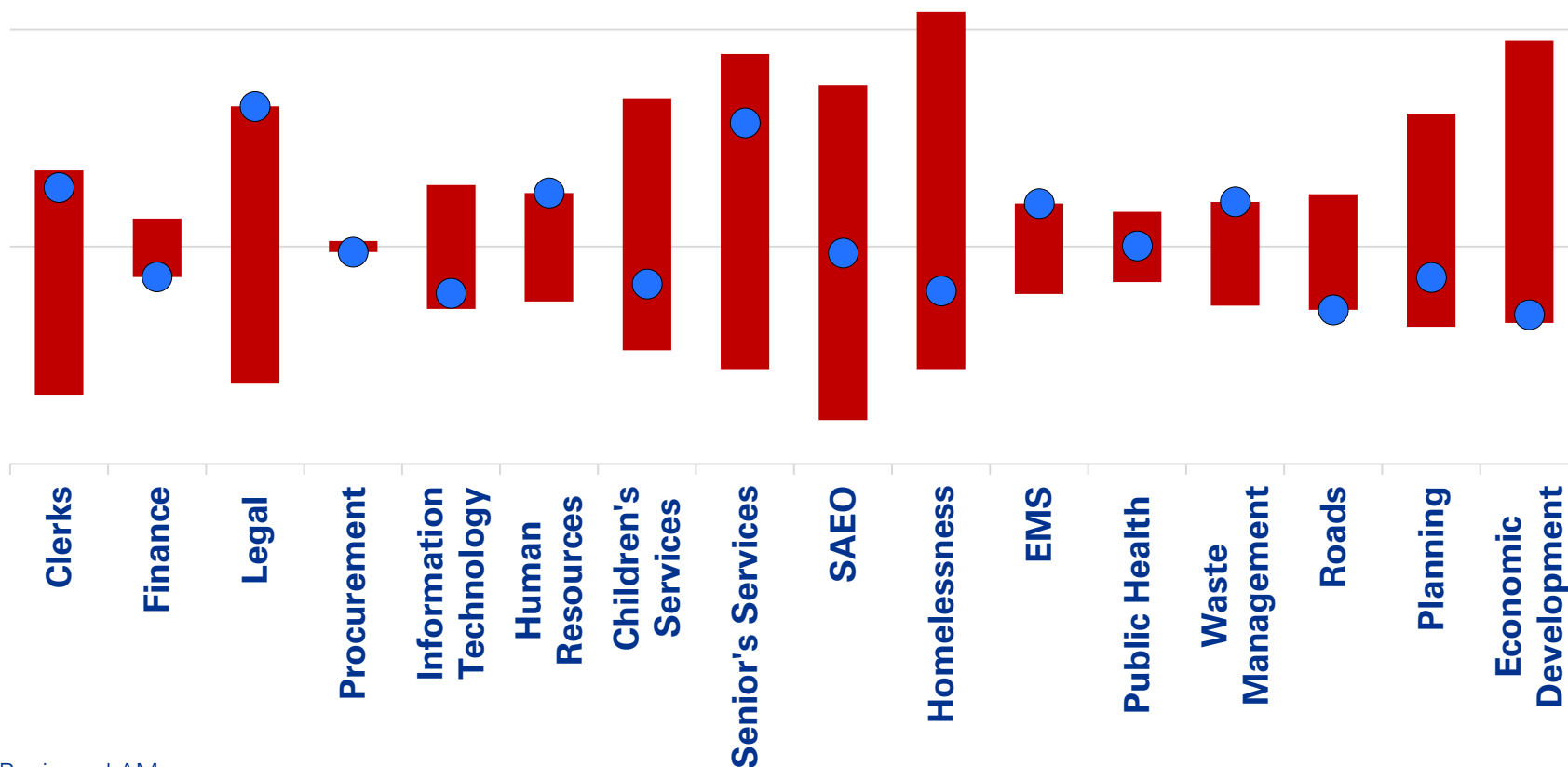
Key Themes

- Discretionary services are more the exception than the rule
- The cost of services, while a valid concern, does not appear to be a significant issue

Cost of Services (Preliminary)

Range of Municipal
Comparator Group

Region of Niagara



*Region + LAMs

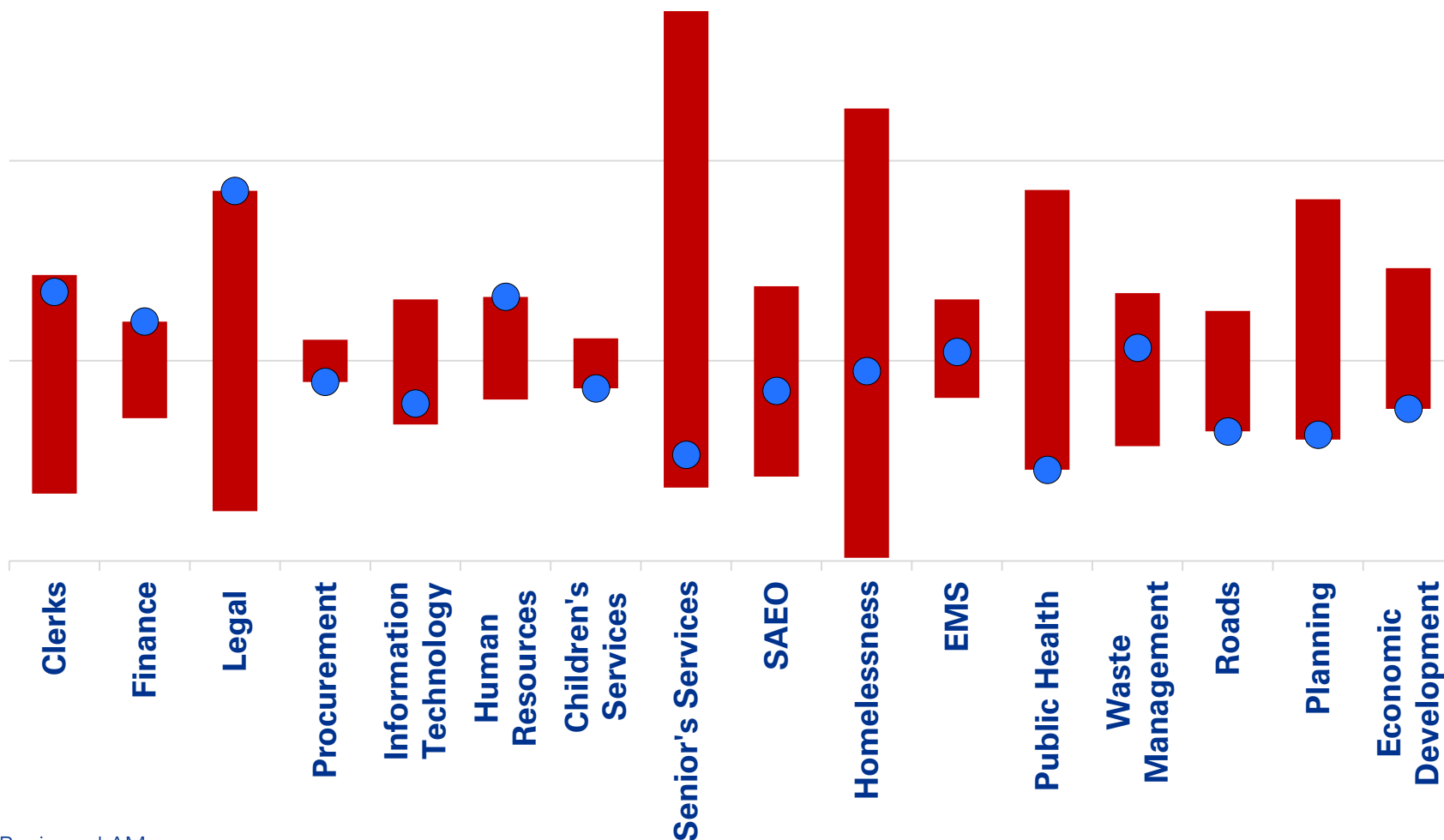


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Cost of Services - Levy (Preliminary)

Range of Municipal
Comparator Group

Region of Niagara

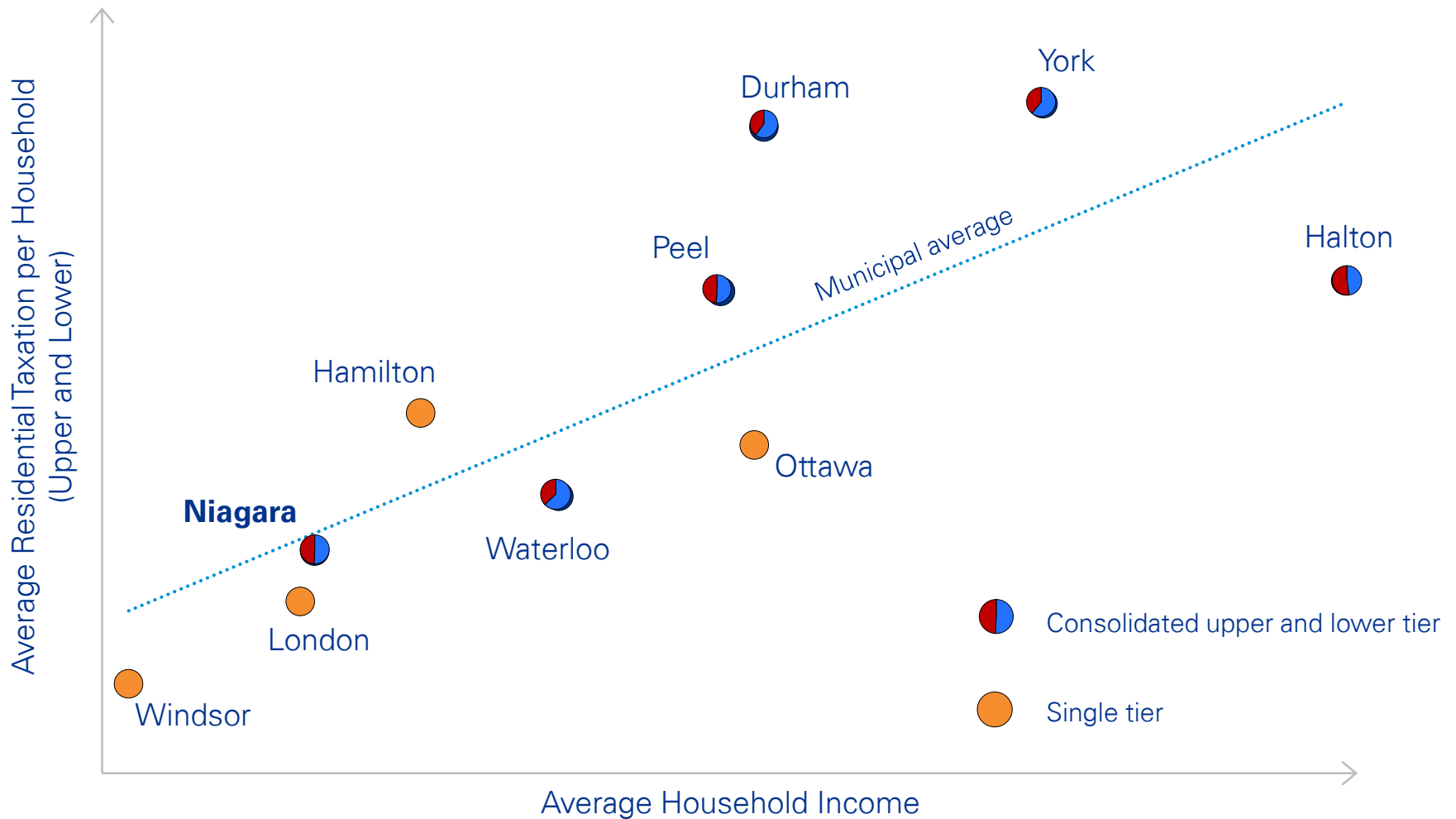


*Region + LAMs



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Niagara By The Numbers (2017)

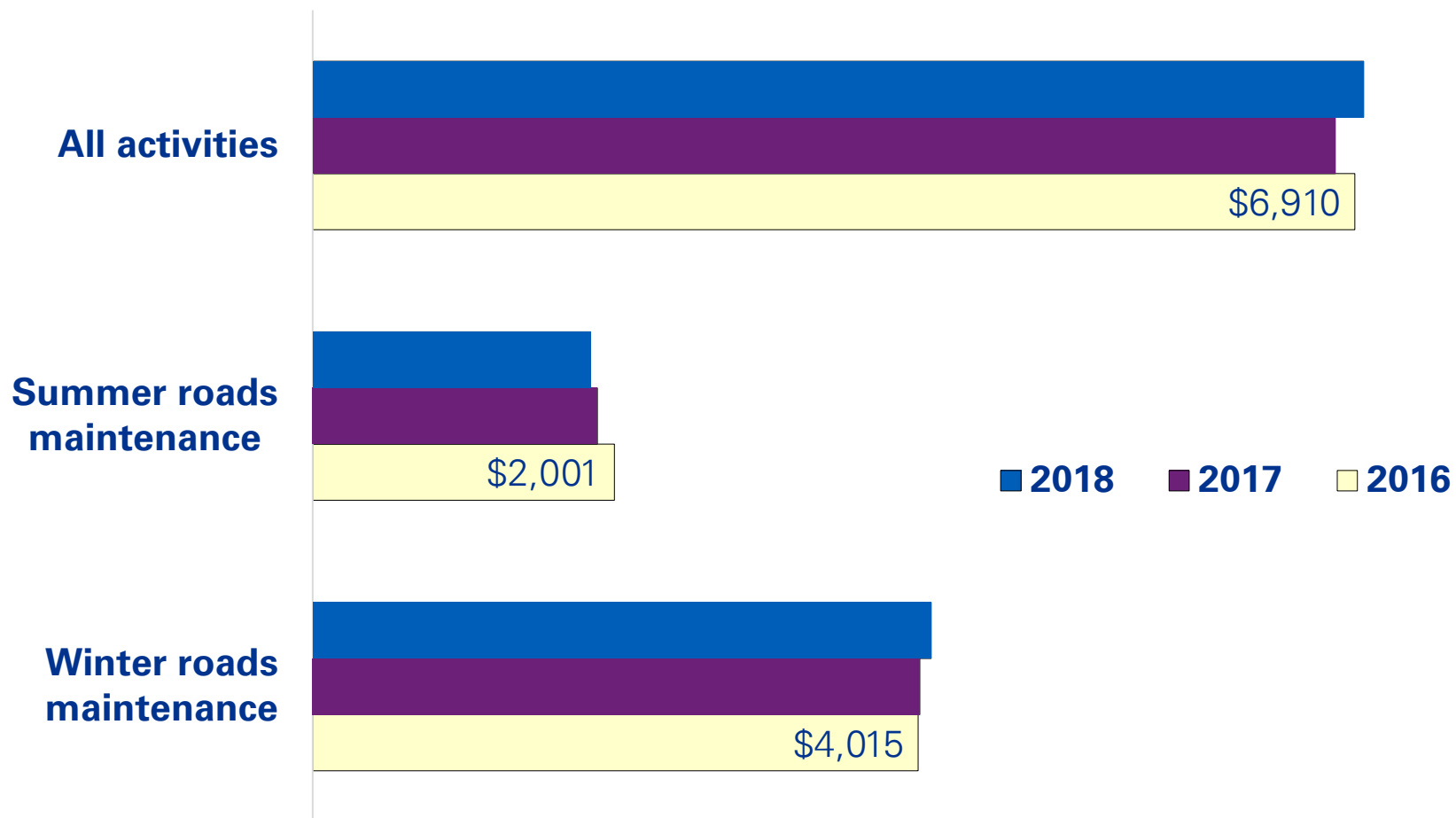


Key Themes

- Discretionary services are more the exception than the rule
- The cost of services, while a valid concern, does not appear to be a significant issue
- Cost reductions have been underway prior to the service sustainability review

Cost of Services

Maintenance Cost per Lane Kilometre

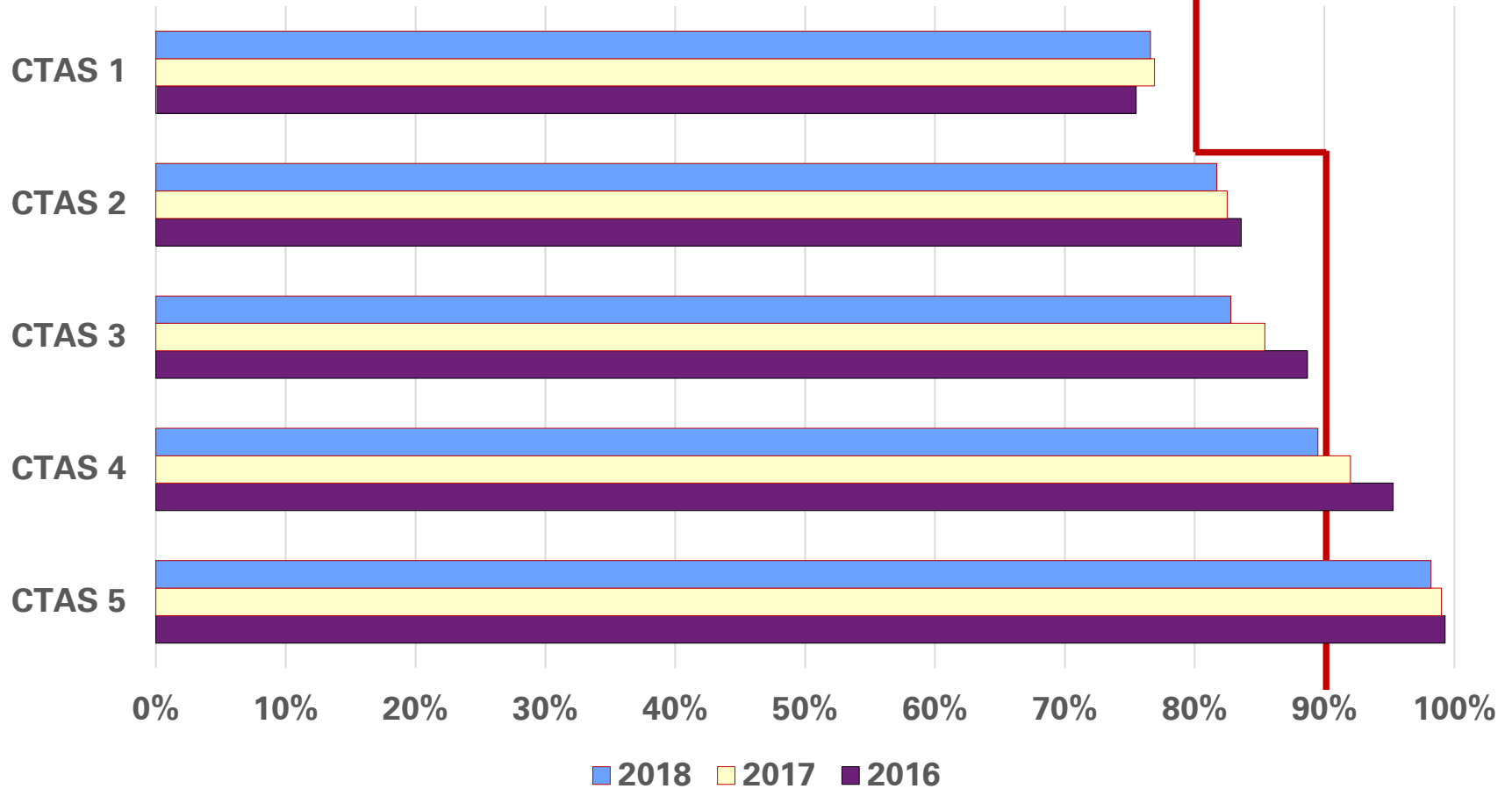


Key Themes

- Discretionary services are more the exception than the rule
- The cost of services, while a valid concern, does not appear to be a significant issue
- Cost reductions have been underway prior to the service sustainability review
- Financial constraints have impacted service levels in certain areas

Service Level Impacts

Paramedic Response Times Within Standard



Key Themes

- Discretionary services are more the exception than the rule
- The cost of services, while a valid concern, does not appear to be a significant issue
- Cost reductions have been underway prior to the service sustainability review
- Financial constraints have impacted service levels in certain areas
- Opportunities exist that can be pursued by Council

Identified Opportunities

Operating changes



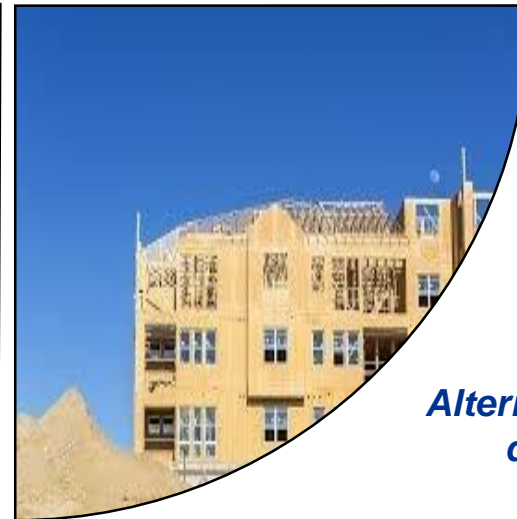
Discretionary program reductions



Integration with local area municipalities



Alternate service delivery



Priority Opportunities

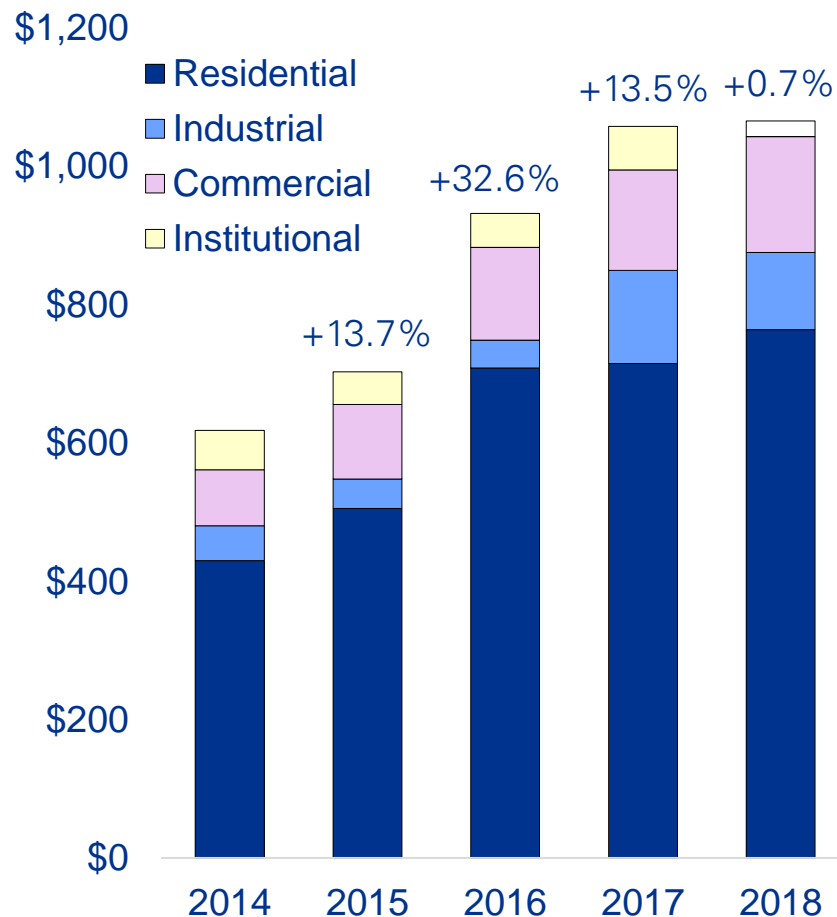
Opportunity No. 1(a) – Reduce or Eliminate Private Sector Grants (SNIP, Gateway, Cultural, Waterfront)

Opportunity No. 1(b) – Reduce or Eliminate Development Charge Rebates

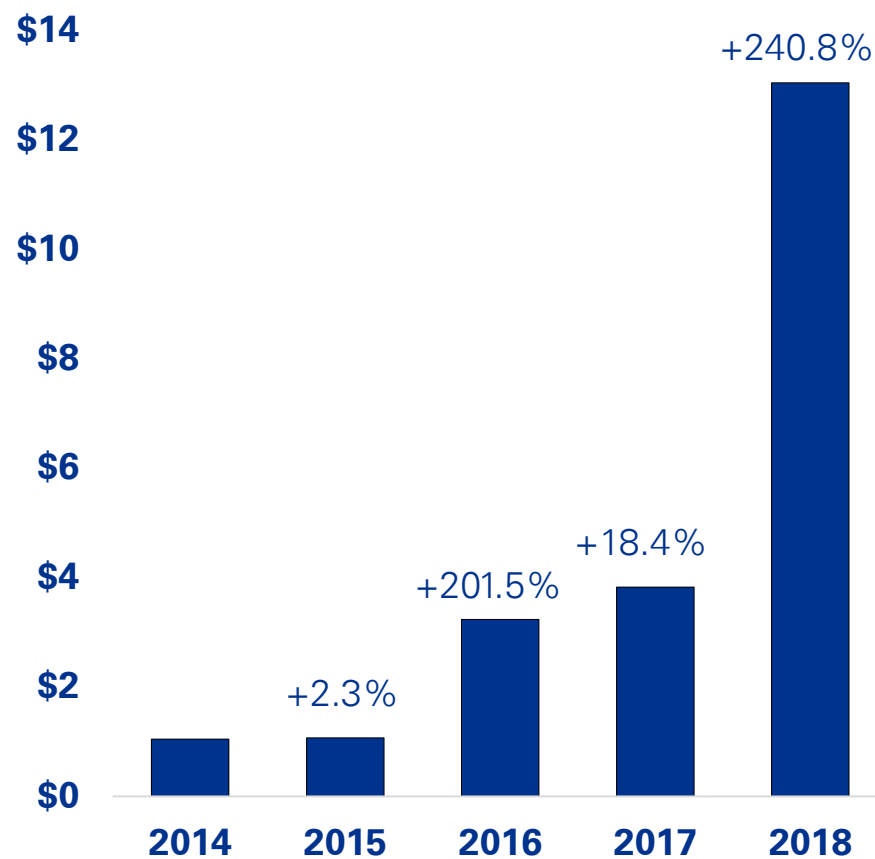
- Significant annual financial investment (\$8.3 million budgeted for 2019)
- Discretionary service that is fully funded by municipal levy (no senior government support)
- Questionable incremental impact
 - No apparent correlation to assessment growth, building permit values or development charge revenues
 - Assessment growth in the Region appears to track to Canadian and Ontario GDP growth
- Public policy objectives (e.g. brownfield redevelopment, affordable housing) provide non-financial rationale for continuation

Priority Opportunities

Value of Building Permits Issued (in millions)



Value of Development Charge Rebates (in millions)



Next Steps

- Submission of final Service Sustainability Review report
 - Service profiles
 - Benchmarking and key performance indicators
 - Business cases
 - Program rankings
- Implementation of individual strategies



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The information contained herein is of a general nature and is not intended to address the circumstances of any particular individual or entity. Although we endeavour to provide accurate and timely information, there can be no guarantee that such information is accurate as of the date it is received or that it will continue to be accurate in the future. No one should act on such information without appropriate professional advice after a thorough examination of the particular situation.

Subject: Organizational Structure Overview 2011-Present

Report to: Regional Council

Report date: Thursday, July 23, 2020

Recommendations

That this report **BE RECEIVED** for information.

Key Facts

- The purpose of this report is to respond to information requests received during the 2020 budget deliberations regarding the historic growth of the organization.
- This report is intended to inform Regional Council of the organizational changes contributing to its growth and structure changes over the following time periods: The Late Trojan Years (2011-2013); The Schlange Years of Change (2014-2016); The D'Angelo Years (2017-2018) and The Present (2019-2020).
 - All increases to permanent Full-Time Equivalents (FTEs) require Council approval either with the Annual Budget, or in-year through a program change
 - Approved FTE by Department are reported in each Annual Budget Report including adjusted FTEs for the previous year to include any in-year approved program changes.
- This report is also intended to inform Regional Council that formal recruitment processes have been, or will be initiated for key roles currently, vacant or filled in an acting capacity as described under Summary Comments and Next Steps.

Financial Considerations

Although there are no financial considerations for this information only report, the following table was developed to provide context around the various organizational changes and FTE increases relative to the annual operating budget and assessment growth in Niagara during the same time period.

Table 1: Data Summary of FTE Growth Relative to Budget and Assessment Growth

	2011-2013	2014-2016	2017-2018	2019-2020
Net Budget Increase \$ Including Rate Excluding ABCs	\$20.4M	\$13.3M	\$19.5M	\$45.9M
Average Annual Net Budget Increase %	2.6%	1.5%	3.2%	7.2%
Average Annual Assessment Growth	1.2%	1.1%	1.3%	1.6%
Permanent FTE Increase	54.9	34.6	58.0	69.9
Average Annual Perm FTE Growth	0.7%	0.5%	1.1%	1.3%

Analysis

The information contained in this report outlines the changes in the organizational structure, including approved Full-Time Equivalents (FTEs), and changes in departmental FTEs for the following time periods:

- The “Late Trojan Years” (January 1, 2011 – October 27, 2013)
- The “Schlange Years” of Change (October 28, 2013 – November 13, 2016)
- The “D’Angelo Years” (November 14, 2016 – December 13, 2018)
- The Present (December 14, 2018 – March 1, 2020)

The Late Trojan Years (January 2011 – October 2013)

During the Late Trojan Years, the position of Chief Administrative Officer (CAO) was held by Mr. Michael Trojan (August 7, 2005-May 31, 2013), and subsequently on an interim basis by both Mr. Kenneth Brothers and Mr. Patrick Robson (alternating from June 1, 2013 – October 27, 2013) during the period of recruitment for a permanent CAO.

During The Late Trojan Years, the Corporation was organized into the following Departments which were each headed by a Commissioner: Public Works, Community Services, Public Health, Corporate Services and Integrated Community Planning. In addition, following the transition of service model in November 2011, the Director of Administration and the Director of Economic Development following the transition of service model in November 2011, also reported directly to the CAO. Organizational charts for the Late Trojan Years can be found in Appendix 1.

Many support services at this time were decentralized and Departments often were responsible for arranging their own support services such as strategy, finance, and IT support from within their own department and operated independently from the support Division (i.e. Financial Management and Planning) which resulted in corporate inconsistencies and duplication of services provided in multiple areas of the Corporation.

FTE stabilization was a major focus during these years and efforts were put in place to “freeze” FTE growth as well as place additional vacancy management controls and approvals to backfill vacancies in most parts of the Corporation and a Council directed FTE “freeze” was implemented from July 28, 2011 until December 8, 2011.

During these years the more significant corporate and departmental pressures and major organizational changes included:

Corporate Administration

- The transition of the service model for the Niagara Economic Development Corporation (NEDC) in 2011 which resulted in the function being brought into Niagara Region, and the 15 FTE associated with the NEDC becoming part of the newly created Economic Development Division reporting into the CAO within the Corporate Administration Department. The 15 FTE were later reduced to six (6) FTE mid-year in 2012.

Corporate Services

- The creation of the Financial Management System Implementation team in June 2013 to support the project planning, implementation and change management identified as necessary in advance of the roll-out of a future Enterprise Financial Management System (to be later implemented in 2016). This need to introduce a control and audit tool was identified as a requirement in order to ensure compliance with financial and procurement policies and by-laws. The team was

created and enhanced using temporary FTEs and internal staff secondments which were all funded from the approved capital project budget.

Integrated Community Planning

- The creation of the Responsive Region Improvement Team (RRIT) came into effect as of January 1, 2012 under direction of Council. RRIT reported directly to the Regional Chair, and through the Audit Committee, and was captured within the Integrated Community Planning Division. RRIT was tasked with conducting an ongoing review of Niagara Region's programs and services, seeking further efficiencies and service enhancements, and to bring innovation and service excellence to the way services are delivered. Council directed that RRIT was to operate within the existing FTE compliment and with no increases to the budget which resulted in the need to repurpose some of the nine (9) surplus FTE noted above from Economic Development to be repurposed for the RRIT initiative.

Public Works

- The creation of the Inter-municipal Transit Pilot within Public Works in June 2012 which required one (1) additional temporary position assigned to act as the Niagara Region Transit Outreach Coordinator.

Public Health

- Funding pressures for Public Health which had an impact on the Department's ability to maintain existing FTEs for all funded and partially funded programs resulting in FTE reductions in 2011.

Community Services

- Pressures on the Social Assistance & Employment Opportunities Division of Community Services with increasing caseloads in Niagara Region since 2008 having significant impact on staff.

Over the course of the Late Trojan Years, a total of 73 FTE (net increase of 54.9 FTE) were approved by Council, either as part of the annual budget process, or as an in-year program adjustment and the details of these FTE approvals are included in Appendix 2. FTEs were approved during these years as follows by Department:

- Corporate Administration – 15 FTE in Economic Development as the result of transitioning the delivery model of the Niagara Economic Development Corporation (previously operating and reported under the Agencies, Boards, Commissions (ABCs), to deliver service as a Division of the Niagara Region in late 2011 (*NOTE: this transition would not be identified when comparing total*

Niagara Region FTEs including ABCs as the FTE were previously reported under the ABC).

- Corporate Services – 8 FTE; 2 FTE for Court Services; 2 FTE for Financial Management and Planning; 4 FTE were single FTE asks amongst the Divisions
- Public Works - 5 FTE; 3 FTE within Water/Wastewater
- Integrated Community Planning - 3 FTE
- Public Health – 11.6 FTE; 2 FTE to create the Wainfleet Emergency Response Team within EMS; 1 Chief Nursing Officer (as mandated by the Province); most additional FTE were funded by the Province
- Community Services – 30.4 FTE; 14 FTE in Social Assistance & Employment Opportunities (SAEO) to help address increasing caseloads; and 7.3 FTE funded by the Province for Seniors Services staff.

While Council approved a total of 73 additional FTE in the Late Trojan Years, the adjusted budgeted FTEs for Niagara Region at the end of the Late Trojan Years (2011, 2012 and 2013) only increased by 54.9 FTE when compared with the 2010 adjusted budgeted FTE as outlined in Appendix 3. The differences in the Council approved additional FTE and the increase in adjusted budgeted FTE reported in the Annual Budget Summary documents are the result of decreases in FTE due to program changes within Public Health as a result of funding changes, and/or improvements in practices and procedures related to how FTE were captured. FTE are reconciled yearly to account for all of these changes and are accurate as per the adjusted FTE counts noted in the Annual Budget Summary documents. Additionally restructuring that occurred both within departments as well as cross-departmentally which was approved within the Corporate Delegation of Authority Policy are not captured within this report, and do not increase Corporate FTE.

The Schlange Years of Change

The Schlange Years of Change are defined as October 28, 2013 – November 13, 2016, when the position of CAO was held by Mr. Harry Schlange from October 28, 2013 – May 28, 2016, and subsequently filled on a temporary basis by Mr. Maurice (Mo) Lewis until November 13, 2016. Organizational charts for The Schlange Years of Change are found in Appendix 4.

These years marked significant organizational transformation with the realignment of services across the organization. The organizational structure maintained its six-Department structure with Commissioners leading the Corporate Services; Public

Works; Planning and Development Services; Public Health and Community Services departments. The Schlange Years of Change also introduced Niagara Region to the *One Team* philosophy which was aimed at breaking down silos within departments and divisions, and to bring the Corporation together amidst the fast paced structural changes that were occurring organization-wide.

In 2015, an FTE compliance review was undertaken to ensure consistent application of the FTE definition when reporting on FTEs. Reporting on approved temporary FTEs was introduced as a separate reporting measure from permanent FTEs. Additionally, in 2016 it was determined that the FTE reporting in Emergency Medical Services (EMS) was inconsistent with how FTEs were reported elsewhere. As a result of these reporting changes, FTEs reported in the 2015 adjusted budget and in the 2016 adjusted budget for EMS show noticeable changes that were confirmed not to be the result of any significant increase or decrease in approved FTEs outside of what was approved by Council.

While the six-department structure was maintained, there was significant restructuring and realignment of business functions and services within each department in an effort to improve create operational efficiencies. Some of the more notable changes included:

Corporate Administration

- Corporate Administration was restructured to include the following Divisions: Human Resources Services; Office of the Regional Clerk; Organizational Performance (an enhanced RRIT to include Corporate Strategy oversight); Economic Development; and Corporate Communications. In addition, a new Manager Partnership Development position replaced the previous Director Administration, and was responsible for ensuring corporate consistency with adherence to the Council strategic priorities.

Corporate Services

- Corporate Services experienced some key leadership changes over these years including a change of Commissioners from Mr. Lewis to Mr. Jason Burgess when Mr. Lewis was asked to assume the Acting CAO position when Mr. Schlange vacated the position and Mr. Burgess assumed the Acting Commissioner position, as well as many leadership changes at the Director level.
- The consolidation and centralization of business support operations resulted in the significant reduction of FTE within Public Works, Community Services, Public Health and Planning and Development Services; and a corresponding increase in FTE within Corporate Services and Corporate Administration as a result of this

consolidation of support services. At this time, many of these FTEs were consolidated into Financial Management and Planning, and the newly enhanced Organizational Performance Division within Corporate Administration. This restructure resulted in the repurpose and elimination of many senior positions in effect moving from a hierarchical design to a flattening of the organizational structure in these areas.

- As part of the EFMS implementation, Corporate Services continued to restructure resulting in the elimination of the Properties Management Division, and the creation of the Procurement and Strategic Acquisitions, and Construction, Energy and Facilities Management Divisions.
- The newly created Procurement and Strategic Acquisitions Division absorbed many repurposed positions previously within Financial Management and Planning Division, as well as Real Estate and Properties Surveys services which both previously reported into the former Properties Management Division.

Public Works

- The Public Works Department faced several challenges during these years, namely the departure of senior leaders; Commissioner Brothers left the organization at the end of the Late Trojan Years, in addition to many other leadership departures including Ms. Betty Matthews-Malone, who was Acting Commissioner until March, 2014 when the position was permanently filled by Mr. Ron Tripp.

Planning and Development

- The Planning and Development Services Department also saw a change in Commissioner when Mr. Patrick Robson left in January 2014, followed briefly in an Acting capacity by Ms. Mary Lou Tanner until the role was filled permanently by Mr. Rino Mostacci in September 2014.
- Planning and Development Services was restructured to better reflect a focus on pro-active land use planning to support and manage growth and a more comprehensive urban agenda. At this time, the Development Approvals and the Development Engineering functions which had been moved to Public Works were re-integrated within Planning and Development Services

Public Health

- Public Health began seeing significant challenges within Emergency Medical Services over these years with the increase in call volumes, varying complexity

of calls and off-load delays which increased pressures on the EMS System Performance Sustainability.

Community Services

- Community Services Commissioner also saw a change in senior leadership with the departure of the Ms. Katherine Chislett in October 2015 when she was replaced by Ms. Adrienne Jugley on an Acting basis, including for the duration of the permanent recruitment of the Commissioner roles.
- The previous Operational Support Services division was restructured following the centralization of the support services out of the operations, and was repurposed to focus on Homelessness Services and Community Engagement which was previously a function of Social Assistance and Employment Opportunities (SAEO).
- The implementation of provincial technology SAMS within SAEO had a significant impact on the amount of time required of staff to case manage their clients in addition to steady increase in case load volumes.
- Changes in Seniors Services included the decentralization of laundry services and laundry services were added to each Long- Term Care (LTC) Home; in-sourcing kitchen services at Deer Park Villa; and the enhancement of the Convalescent Care program.

Over the course of the Schlange Years of Change, a total of 123 FTE were approved by Council (net increase of 34.6 FTE), either as part of the annual budget process, or as an in-year program adjustment as noted in Appendix 5. FTEs were approved during these years as follows by department:

- Corporate Administration – 0 FTE
- Corporate Services – 3 FTEs
- Public Works – 5 FTEs
- Integrated Community Planning – 3 FTEs
- Public Health – 51.1 FTE; 24 FTEs added to EMS for paramedics to create 3 new 24-hour ambulance crews to address growing call volumes, each 50% funded by the province); 15.5 FTEs added in Mental Health to create a full Assertive Community Treatment Team (ACTT) and Early Intervention services for young adults (ages 16+) (all 100% funded by the province);
- Community Services – 60.9 FTEs; 23.5 funded FTEs within Seniors Services; 33 FTEs within SAEO to address the case volumes

While Council approved an additional 123 FTEs in the Schlange Years of Change, there were significant reductions to overall FTEs as a result of improvements to practices and procedures associated with reporting on FTEs, resulting in the adjusted budgeted FTEs for Niagara Region increasing by only 34.6 FTEs when compared with the 2013 adjusted budgeted FTE as outlined in Appendix 6. This was the result of the noted changes in FTE reporting, in addition to FTE reductions of previously funded positions in Public Health. The majority of the restructuring during the Schlange Years of Change that occurred both within a department as well as cross-departmentally was approved under the Corporate Delegation of Authority Policy and did not result in an increase to Corporate FTEs.

The D'Angelo Years

The D'Angelo Years are defined as November 14, 2016 – December 14, 2018 when Mr. Carmen D'Angelo was the CAO. During these years the Corporation battled to maintain its corporate image and the Corporate Leadership Team (CLT) underwent significant leadership changes. These changes included: hiring of the General Manager, Mr. Chris Carter to lead the Administration-Corporate Services Department; Public Health's departure of the Medical Officer of Health, Dr. Valerie Jaeger and the transition to Dr. Mustafa Hirji as the Acting Medical Officer of Health; Enterprise Resource Management Services departure of Acting Commissioner Burgess, the appointment of Ms. Helen Chamberlain in the Acting role in the interim, and the hiring of the new Commissioner Enterprise Resource Management Services, Mr. Todd Harrison; and Community Services filling the Commissioner vacancy on a permanent basis with Ms. Jugley following more than a year in the position in an Acting capacity. The organizational chart can be found in Appendix 7.

In addition to the changes at the CLT level, the following were the major initiatives and changes for each department:

Corporate Administration

- The structure of the Corporate Administration division changed again under Carmen D'Angelo with the following divisions reporting into Corporate Administration: Economic Development, Strategic Communications and Public Affairs, and Internal Control & Organizational Performance (ICOP) which was a further evolution of the previous Organizational Performance Division.
- The creation of the Project Management Office (PMO) as a unit operating within the ICOP Division transitioned 6 FTE from IT Solutions with the intent of setting

up a center of excellence to give direction and create harmonized standards for Project Managers across the Corporation.

Administration-Corporate Services

- This new Department was created to report to the new General Manager position. It was originally communicated that the department would oversee all previous direct reports of the CAO under the direction of a Deputy CAO, however when the position was hired it was given the General Manager title.
- The Department evolved to include the following divisions: Human Resources; IT Solutions; Office of the Regional Clerk; Construction, Energy and Facilities Management; and Customer Service/Business Licensing.
- Customer Service/Business Licensing was the newest Division created within the Corporation and merged the Customer Service work that was aimed at creating standards and improving the customer experience, as well as the new Business Licensing team that was in the process of being established in at the end of 2018 when the work was uploaded from the Niagara Regional Police Services (NRPS).

Enterprise Resource Management Services (ERMS)

- During the D'Angelo Years, the ERMS Department was retitled from the original Corporate Services Department and underwent continued restructuring. As at December 18, 2018, the department consisted of Legal and Court Services; Financial Management and Planning, and Procurement.
- With a paired down Department compared to what it was under the Corporate Services name, ERMS continued to focus on providing financial, procurement and legal guidance to the Corporation.

Public Works

- Council also approved the creation of the GO Implementation Office to assist with the coordination with Metrolinx following the Province's announcement that GO Train service would be extended to Niagara with stops in Grimsby planned by 2021. The GO Implementation Office was created without an increase to permanent FTEs through the utilization of long-term Temporary FTEs and internal staff secondments.
- Council approval and implementation of the 2016 Water & Wastewater Master Plan and subsequent capital projects approved in order to support the Master Plan. The 10 approved increases in addition to some FTE movement of existing approved FTEs into Public Works were required in order to implement this Master Plan and resulted in the department FTE increase of 14.9 FTEs at the end of 2018 compared with 2016 FTEs.

Planning and Development Services

- These years saw the Department initiate a new Niagara Official Plan in 2017 in accordance with *The Planning Act* which requires municipalities to regularly review and update official plans to conform to Provincial requirements such as the Growth Plan for the GGHA and Provincial Policy Statement on Land Use Planning.
- The Department saw its largest growth as the result of Council approved 8.5 FTEs, to assist with the preparation of the New Official Plan as well as work uploaded from the Niagara Peninsula Conservation Authority (NPCA) and to facilitate and manage the significant increase in development with pro-active planning programs and support to local municipalities.

Public Health

- Aside from the noted change in leadership with the Medical Officer of Health, Public Health maintained general Department stability throughout these years, though provincial funding reductions saw ongoing erosion of Public Health. The department was also renamed to Public Health & Emergency Services.
- In 2016, a Council directed consultant recommended a Niagara EMS Master Plan with a focus on addressing service sustainability amid increasing call volumes. The Master Plan supported the recommendation that additional ambulance crews were required in order to maintain existing service levels to Niagara Region. As a result one (1) new ambulance crew (8 FTEs) was added in the 2017 budget, and a second crew (8 FTEs) was added in 2018.

Community Services

- Once the Commissioner role was awarded permanently to Ms. Jugley, the Department remained structurally stable for the remainder of these years.
- Additional funding from the Province was given to Children's Services which resulted in the creation of 5.9 FTEs. Children's Services also made changes to address legislation which required all Full-Time employees working in the childcare centers to move from 35 hours to 40 hours per week. This change did not impact FTE counts.
- An announcement was made regarding LTC Home redevelopment and the Capital Project was approved and funding secured through the Province.

Over the D'Angelo Years Council approved 63.9 FTEs (net increase of 58 FTEs) as detailed in Appendix 8. Increases in Council approved FTEs were approved as follows:

Corporate Administration – 7 FTEs: including 5 FTEs for the CAO's restructure as outlined in a Confidential Report CAO 7-2017; and 2 FTEs for Economic Development

- Corporate Services – 2 FTEs
- Enterprise Resource Management – 2 FTEs
- Public Works – 12 FTEs; 5 FTEs for water and wastewater project managers to manage the additional capital works projects are due to the Region's recently approved Asset Management Plan (AMP) recommendations, the recently approved Water & Wastewater Master Servicing Plan, and upper tier funding programs; and 5 FTE wastewater operators required to operate the new NOTL wastewater treatment plant
- Planning & Development Services – 8.5 FTEs; 5 FTEs for plan review and tree by-law enforcement
- Public Health – 25.5 FTEs; 16 FTEs for EMS, funded 50% by the province; 6 FTEs for public health, fully funded by the provincial government to support opioids response work, as well as the first provincial base funding increase in several years announced just prior to the 2018 provincial election. Council also formalized 1 FTE for physical recruitment, after funding and repeatedly renewing a contract position to do that work for 17 years.
- Community Services – 6.9 FTEs for funded positions within Children's Services
- In total, unionized FTEs reduced by 42.24 FTE and non-union FTEs increased by 48.28 FTEs

Over the D'Angelo Years Council approved 63.9 FTE however the Corporation grew by only 58 FTE compared with the FTE count in 2016 as approved FTE was offset by reductions in FTE as the result of program changes, and a reduction in FTE in Court Services as outlined in Appendix 9.

The Present

The Present is defined as December 15, 2018 – March 1, 2020, the period of time when Council approved Ron Tripp as the Acting CAO. The Present began with a change to five key leadership positions (including the CAO). On December 17, 2018, the following senior leadership positions became vacant: General Manager, Director, Human Resources, Director, Economic Development, and Director, Strategic Communications & Public Affairs as part of an Organizational Leadership transformation. Organizational charts for The Present can be found in Appendix 10.

With key positions vacant, immediate and temporary restructuring was implemented to support corporate stability. With the General Manager position vacant, the decision was made to temporarily restructure Administration-Corporate Services between the Corporate Administration and Enterprise Resource Management Department. Ms. Catherine Habermehl was appointed as the Acting Commissioner, Public Works and later transitioned the position to Mr. Bruce Zvaniga on a temporary basis effective February 2020. The Director positions were all appointed on a temporary basis and subsequently, the Director Human Resources and Associate Director Strategic Communications and Public Affairs positions have both been posted and awarded on a permanent basis. The General Manager position has been repurposed to Corporate Services, and the Director Economic Development position remains filled on a temporary Acting basis.

The Corporation has been faced with a great deal of external pressure and uncertainty as the result of announcements from the Provincial government in early 2019 of a pending municipal governance review as well as notice of proposed consolidation of the 35 Provincial health units reduced down to 10.

Post March 1, 2020, the COVID-19 pandemic has added an additional layer of complexity to the Corporation, especially in respect to how FTEs are assigned and utilized across the Corporation. Redeployment of FTEs has occurred both within Departments such as Public Health and Community Services, as well as cross-departmentally which will result in new challenges for the Corporation on reporting of this utilization of FTEs in the future.

Additional structural changes by department during these years include:

Corporate Administration

- Immediately this Division was restructured along with Corporate Services to restructure the divisions on a temporary basis and later confirmed to be a permanent restructure as of August 1, 2018. The following divisions report into Corporate Administration: Economic Development, Corporate Strategy & Innovation, Clerks Administration, and Human Resources.
- In November 2019 following the restructure of the previous ICOP Division, a new Corporate Strategy and Innovations division was created and Strategic Communications & Public Affairs unit moved within the larger division as a separate functional unit. In addition to Strategic Communications & Public Affairs, the Corporate Strategy and Innovation Division will also support Organizational

Performance functions, Diversity, Equity and Inclusion work, and the Community, Safety and Wellbeing work. The FTE impact of this restructure was a reduction of seven (7) permanent FTEs and one (1) temporary FTE to the Corporation.

Corporate Services

- In August 2018, after the temporary restructure was announced to be permanent, ERMS officially returned to its prior name of Corporate Services led by Commissioner Harrison.
- The divisions reporting into Corporate Services now remain: Financial Management and Planning; Procurement and Strategic Acquisitions; Legal and Court Services; IT Solutions; Construction, Energy & Facilities Management; Customer Service and Business Licensing; and Asset Management.
- Two new units were added to the Department - the Asset Management Division which included seven (7) Council approved FTEs to support the 2017 provincial regulation on municipal asset management planning; and Business Licensing which began as a project in 2018 and was implemented in May 2019 and was supported with the Council approved 5 FTEs required to upload the work from NRPS.

Public Works

- The Department experienced a change in senior leadership with Mr. Tripp in the Acting CAO position. Ms. Habermebl was originally appointed Acting Commissioner, and later Mr. Zvaniga accepted the position on a temporary basis.
- Work continues on the 2017 Water and Wastewater Master Plan which resulted in an additional 15 FTEs approved by Council to support the operations and capital projects. Transportation also began planning for the implementation of Vision Zero Road Safety Program which includes implementing initiatives such as Automated Speed Enforcement, Red Light Cameras, and Community Safety Zones. Once implemented, it is expected that this Program will have impacts on the future staffing requirements of both Transportation Services and Court Services as such an additional 14 FTEs between the two divisions were approved by Council.

Planning and Development Services

- The Department continues to work to prepare the New Official Plan and manage increasing development volumes and the work uploaded from the NPCA. The work program of the Department has stabilized and adequate resources are in place.

Public Health & Emergency Services

- There has been very little change to the organizational structure of the Public Health Department over the past eighteen months, while uncertainty remains surrounding the Province's direction to consolidate the 35 public health units into 10 regional agencies by 2021. Provincial funding for public health returned to being frozen, resulting in reductions of public health FTE to maintain balanced budgets. Funding was partly downloaded effective January 2020 resulting in an increase to the levy contribution of the Public Health budget without any increase to staff or service provision.

Community Services

- Prior to the pandemic, Community Services was preparing to implement the Alternative Service Delivery for Niagara Regional Housing (NRH). Once implemented, Community Services would be able to continue to provide comprehensive support for its vulnerable clients within the Department with a new divisional model.
- Seniors Services was able to secure additional funding in 2019 and received Council approval to hire an additional 14.1 FTEs for Personal Support Workers to assist in providing resident care for increasing responsive behaviours.

As of March 1, 2020 Council has approved 77.5 FTEs (net increase of 69.9 FTEs) during this time outlined in Appendix 11. While there has been additional movement of FTE within the departments as approved under the Corporate Delegation of Authority Policy, the Corporation has grown by 69.9 FTEs with the difference primarily representing the reduction of FTEs associated with the restructure of ICOP. To-date Council approved FTE have been approved as follows:

- Corporate Administration – 0 FTE
- Corporate Services – 27 FTEs; 5 FTEs for the creation of the Business Licensing unit; and 7 FTEs for the creation of the Asset Management Office; 12 FTEs for Court Services to support Vision Zero Road Safety Program
- Public Works – 27 FTEs; 2 FTEs to support Vision Zero Road Safety Program; 2 FTEs in waste collections and diversion advisors from temporary to permanent; 15 FTEs to support water/wastewater operations
- Planning & Development Services – 0 FTE
- Public Health – 9.4 FTEs; 3.4 FTEs related to the Ontario Seniors Dental Care program, 100% funded by the provincial government; 4 FTE to support mental health programming, 100% funded by the provincial government; 2 additional

FTE created as part of a suicide-prevention initiative; additional 3.5 FTE were created to sustain the successful EMS System Transformation (most funded by the provincial government), while 3.5 public health FTE were reduced as a consequence of lost provincial funding within a frozen budget.

- Community Services – 14.1 FTEs for Seniors Services front line staff
- In total unionized FTEs increased by 47.41 FTEs and non-union FTEs increased by 22.34 FTEs

As noted, the following senior leadership positions are being filled on a temporary basis or vacant with recruitment pending:

- Director Economic Development – Ms. Valerie Kuhns, Acting Director Economic Development
- Director Corporate Strategy & Innovation – vacant
- Diversity, Equity and Inclusion Program Manager – job competition has resumed
- Medical Officer of Health & Commissioner (Public Health & Emergency Services) — recruitment efforts suspended in February 2018; current plans are to resume recruitment upon (1) completion of the province's review of public health and emergency health services, and what change may be required to the department and this role; and (2) the hire of a permanent CAO
- Chief Administrative Officer – job competition currently on-hold

Summary Comments – Next Steps

As noted through the Present section of this report, the following leadership positions are being filled on a temporary basis or vacant with recruitment pending. This is to inform Council that the following recruitment processes have been or will be initiated in the summer months:

Director of Economic Development – This role is currently filled on an acting basis. The permanent recruitment for this role was placed on hold pending the outcome of the Provincial Governance Review as per Confidential Report CAO 12-2019. The provincial review concluded late in 2019 with no recommendations related to Governance reform and with recommendations that encouraged municipal governments to review service delivery models and alternatives in order to maximize cost effectiveness and service delivery efficiency. The work of service delivery review continues, although at a modest pace due to COVID-19, through a working group of the 13 Niagara CAO's. It is recommended that the recruitment process be initiated for a permanent Director at this

time. Resourcing required for both the response to COVID-19 as well as the development of a comprehensive Recovery Plan, coordinated across all 13 municipalities and key stakeholder groups, is critical. The recruitment for this role will provide stability within the organization and resourcing necessary for the recovery work in the next several months.

Director of Corporate Strategy & Innovation – This role is currently vacant. It is recommended that the recruitment process be initiated for a permanent Director at this time. Resourcing required for both the response to COVID-19 as well as the development of a comprehensive Recovery Plan, coordinated across all 13 municipalities and key stakeholder groups, is critical. The recruitment for this role will provide stability within the organization and resourcing necessary for the recovery work in the next several months.

Diversity, Equity and Inclusion Program Manager – This position was approved through the 2020 budget deliberations. A recruitment process was commenced in February. However, the interviewing of candidates was put on hold in the second week of March due to COVID-19. Eight of the Niagara local municipalities have now passed resolutions in support of CIM membership and the remaining four have similar resolutions to be considered in the near future. The candidate interviews have now been rescheduled utilizing online technology and a successful candidate should be in place soon.

Medical Officer of Health - This role is currently filled on an acting basis as approved by the Niagara Region Board of Health in December 2017. Prior to COVID-19, the Province indicated that they would not be considering the permanent appointment of any new MOH prior to the completion of the Provincial review of the Public Health units. It understand that this work has been paused due to COVID-19. The recruitment for a permanent MOH will remain in abeyance until direction from the Province has been received.

Chief Administrative Officer – As directed by Council through motion on March 26, 2020, the recruitment for a permanent CAO will remain on hold “until the Council has determined that the pandemic situation has been appropriately resolved so that the Council of the Region of Niagara can focus on this important process.”

Alternatives Reviewed

There are no alternatives to consider as this is an information only report.

Relationship to Council Strategic Priorities

This Report supports the Regional Council Strategic Priority: A commitment to high quality, efficient, fiscally sustainable and coordinated core services through enhanced communication, partnerships and collaborations with the community.

Other Pertinent Reports

Confidential CAO 12-2019, August 1, 2019 A Matter Respecting Labour Relations – Organizational Structure Realignment

Prepared and Recommended by:

Sarah Sebben
Human Resources Consultant
Corporate Administration

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

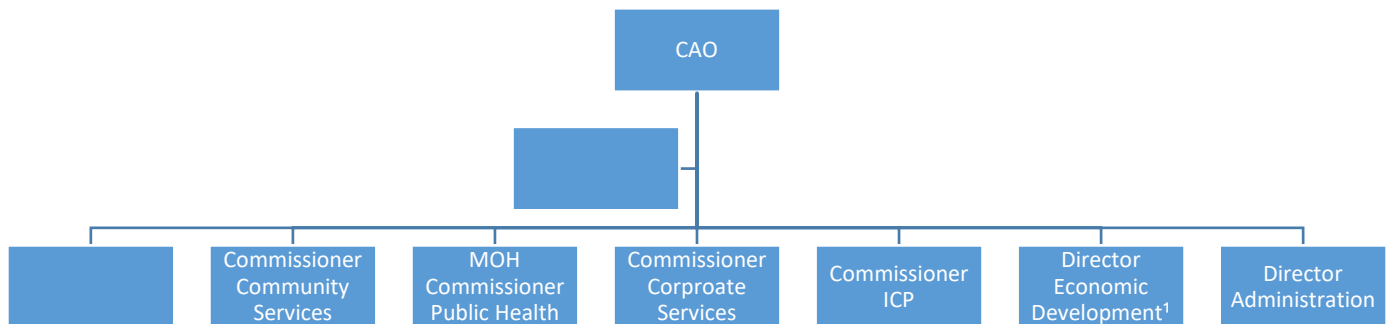
This report was prepared in consultation with staff from Financial Management and Planning, and reviewed by Franco Meffe, Director Human Resources .

Appendices

- Appendix 1 Niagara Region Approved FTE Increases – Late Trojan Years
- Appendix 2 Organizational Charts– Late Trojan Years
- Appendix 3 Department Adjusted Budgeted FTEs – Late Trojan Years
- Appendix 4 Niagara Region Approved FTE Increases – Schlange Years of Change
- Appendix 5 Organizational Charts – Schlange Years of Change

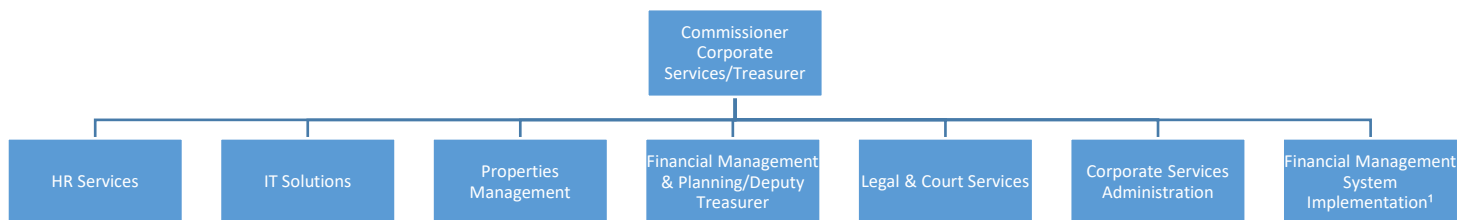
- Appendix 6 Department Adjusted Budgeted FTEs – Schlange Years of Change
- Appendix 7 Niagara Region Approved FTE Increases – D'Angelo Years
- Appendix 8 Organizational Charts – D'Angelo Years
- Appendix 9 Department Adjusted Budgeted FTEs – D'Angelo Years
- Appendix 10 Niagara Region Approved FTE Increases – The Present
- Appendix 11 Organizational Charts – The Present
- Appendix 12 Department Adjusted Budgeted FTEs – The Present

Chart 1: CAO Direct Reports as of October 27, 2013



¹ - Economic Development became integrated as part of the Niagara Region from the previous service model operating as Niagara Economic Development Corporation in 2011.

Chart 2: Corporate Services Organizational Chart as of October 27, 2013



¹ – Financial Management System Implementation division effective June 17, 2013

Chart 3: Public Works Organizational Chart as of October 27, 2013

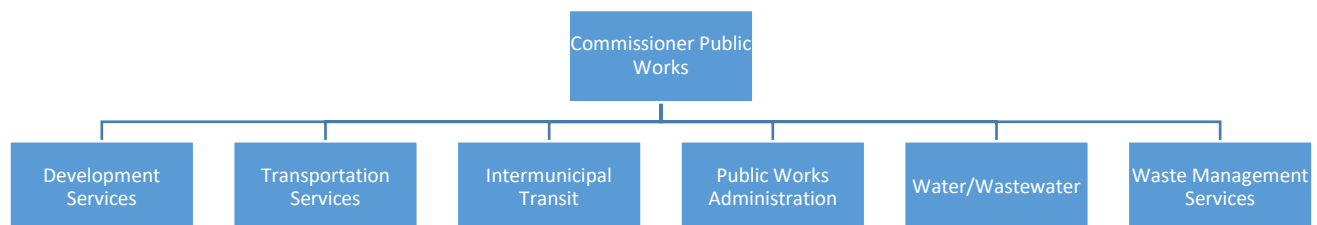
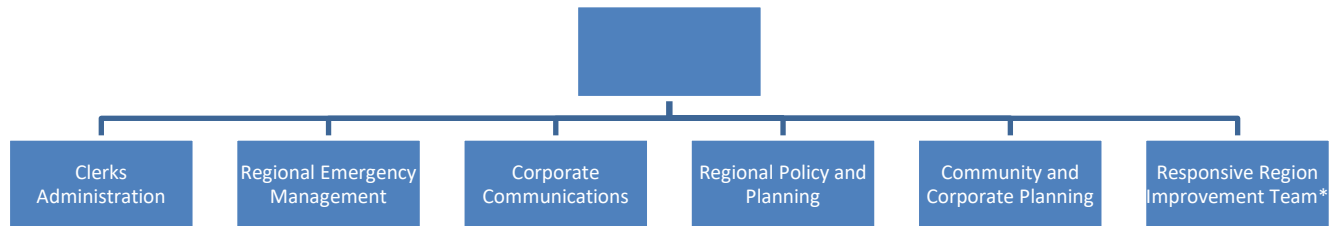


Chart 4: Integrated Community Planning Organizational Chart as of October 27, 2013



**Responsive Region Improvement Team reported directly to the Regional Chair and Audit Committee however reported into the Integrated Community Planning department.*

Chart 5: Public Health Organizational Chart as of October 27, 2013

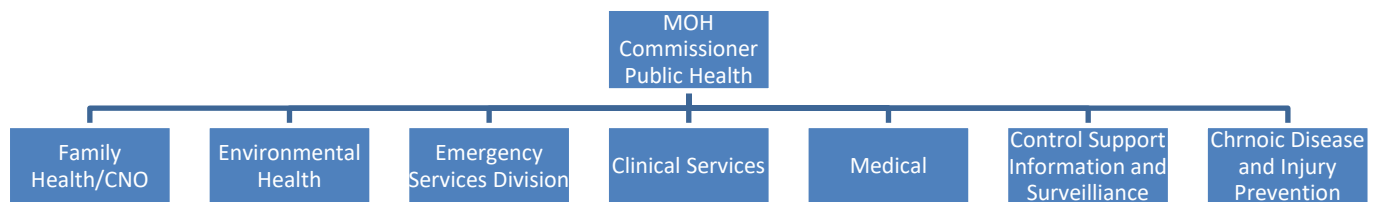
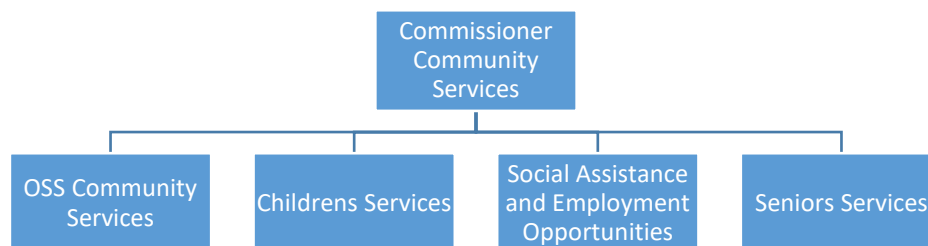


Chart 6: Community Services Organizational Chart as of October 27, 2013



CAO 18-2020 Appendix 2 - Niagara Region Approved FTE Increases – Late Trojan Years

Item	# FTE	Comments
Approved FTE in 2011 Budget		
Integrated Community Planning	2	1 FTE - Clerks Administration for administration support
		1 FTE - Planning services
Public Works	1	1 FTE - Engineering and Transportation Services
Approved FTE in-year 2011 with Authorization from Council		
Public Health	2	1 FTE - Nurse Educator position to be created to support the Chief Nursing Officer requirement of the Ontario Public Health Organization Standards
		1 FTE - Provincially funded nursing position in Niagara's Early Intervention in Psychosis Service within the Community Health Program
Corporate Services	2	1 FTE - Facilities Project Manager (Temporary) to deliver Niagara Regional Police Services buildings (HQ/2 District and 1 District)
		1 FTE - IT Solutions staff
Corporate Administration	15	15 FTE - Economic Development as the result of transitioning the service model of the Economic Development Corporation to a division of the Niagara Region
Approved FTE in 2012 Budget		
Corporate Services	2	1 FTE - Court Prosecutor within Court Services to assist with increasing service demands
		1 FTE - Court Prosecutor Assistant to assist with increasing service demands
Public Works	1	1 FTE - to respond to legislated requirements under the Clean Water Act for a Risk Management Officer and Inspector
Approved FTE in-year 2012 with Authorization from Council		
Corporate Services	3	2 FTE - within Financial Management and Planning to perform financial compliance reviews
		1 FTE - Legal Claims Examiner and Review (Temporary)

CAO 18-2020 Appendix 2 - Niagara Region Approved FTE Increases – Late Trojan Years

		2.6 FTE - fully funded positions by the Local Health Integration Network to support enhanced services to residents of Deer Park Villa and Suites in Grimsby and the enhanced adult day services at the South Niagara Health and Wellness Centre in Welland
Community Services	23.1	5.9 FTE funded for Seniors Services
		0.6 FTE additional funding for housing assistance program
		14 FTE - Social Assistance & Employment Opportunities (SAEO) for temporary staff to address the 47% increase in Ontario Works caseloads since 2008

Approved FTE in-year 2012 with Authorization from Council

		1 FTE - Chief Nursing Officer
		2 FTE - creation of the Wainfleet Emergency Response Team within Emergency Medical Services (EMS)
Public Health	7.6	4.6 FTE - fully funded positions to fulfil the Ontario Public Health Standards (OPHS) and Healthy Babies Healthy Children (HBHC) protocol requirement for a Screening Liaison Nurse and the Healthy Smiles Ontario Program in order to provide greater access to the dental services and to increase customer service

Approved FTE in 2013 Budget

Corporate Services	1	1 FTE - Human Resources Services Labour Relations position
Integrated Community Planning	1	1 FTE - new position to enhance the Regional Emergency Planning unit
Public Works	3	3 FTE - Water/Wastewater to assist with the changes to service delivery

Approved FTE in-year 2013 with Authorization from Council

Community Services	7.3	7.3 FTE - fully funded positions through the Local Integrated Health Network to assist with senior care
Public Health	2	2 FTE - funded by the Province these positions were created to support Early Psychosis program within Public Health

CAO 18-2020 Appendix 2 - Niagara Region Approved FTE Increases – Late Trojan Years

Total Approved Increase to FTE:	73	
Less FTE Adjustments:	-18.1	-18.1 FTE – Corporate reductions to FTEs
Net Change in FTE:	54.9	

Note: Systems used during these years are no longer supported, as such the information shown is accurate to the information presented to Council and made available to the public in Annual Budget Summary documents.

Niagara Region Approved FTE Increases – Late Trojan Years does not include FTE movement within departments, cross-departments or reductions in FTE that may have occurred as a result of program changes and/or improvements to practices and procedures related to how FTE were captured. FTE are reconciled yearly to account for all of these changes and are accurate as per the adjusted FTE counts noted in the Annual Budget Summary documents.

Appendix 3 – Department Adjusted Budgeted FTEs – Late Trojan Years

Department	2010 Adjusted Budgeted FTE	2011 Adjusted Budgeted FTE	2012 Adjusted Budgeted FTE	2013 Adjusted Budgeted FTE	FTE Change since 2010 - Late Trojan Years
Corporate Administration	7	22	13	13	+6
Corporate Services	205.5	207.5	212.5	212.5	+7
Public Works	472.8	473.8	474.8	477.8	+5
ICP/Planning	51	53	54	56	+5
Public Health	645.6	639.1	646.1	648.1	+2.5
Community Services	1102.2	1102.2	1124.3	1131.6	+29.4
Niagara Region + Court Services	2484.1	2497.6	2524.7	2539	+ 54.9

The Niagara Region + Court Services FTEs reported above are the adjusted budgeted FTE for all employees of the Niagara Region in addition to employees of Court Services (Court Services FTE are reported under Agencies, Boards and Commissions). Court Services is included as it operates as within Corporate Services under the Legal & Court Services division. All other FTEs reported under Agencies, Boards or Commissions (ABCs) were not included in the reported Niagara Region FTE.

Notes: Systems used during these years are no longer supported, as such the information shown is accurate to the information presented to Council and made available to the public in Annual Budget Summary documents.

Corporate Administration FTE includes Governance FTE and Economic Development
 Corporate Services FTE includes Court Services FTE
 ICP/Planning FTE includes Responsive Region Improvement Team FTE
 Public Works FTE include Levy and Rate

Chart 7: CAO Direct Reports (including Corporate Administration) as of November 13, 2016



Chart 8: Corporate Services Organizational Chart as of November 13, 2016

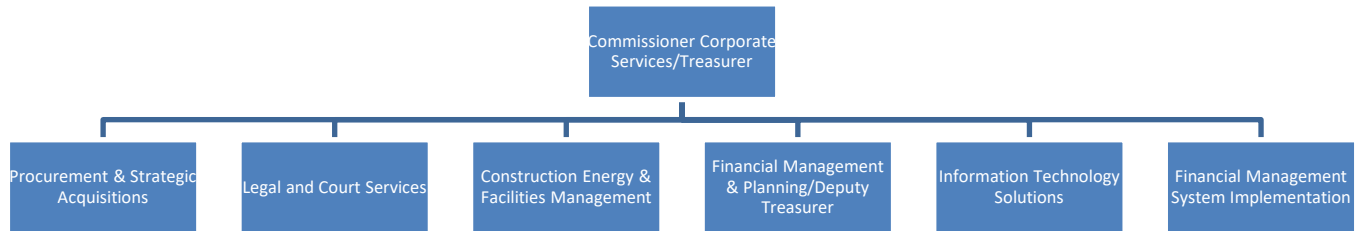


Chart 9: Public Works Organizational Chart as of November 13, 2016

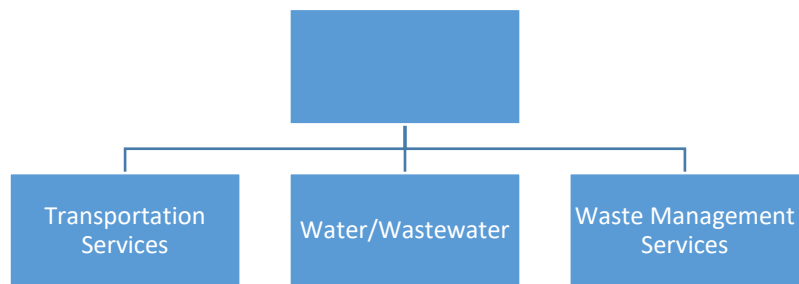


Chart 10: Planning and Development Services Organizational Chart as of November 13, 2016

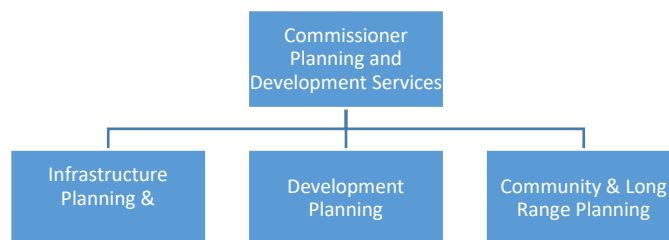


Chart 11: Public Health Organizational Chart as of November 13, 2016

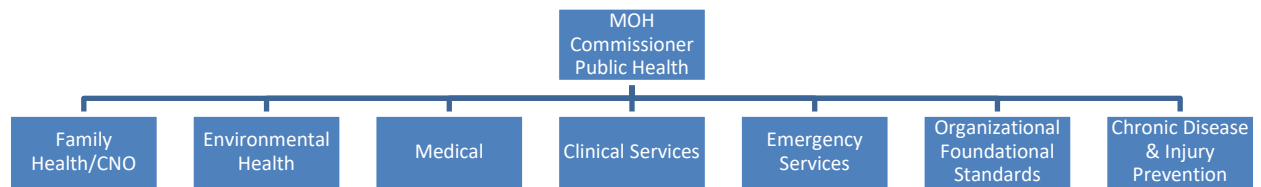
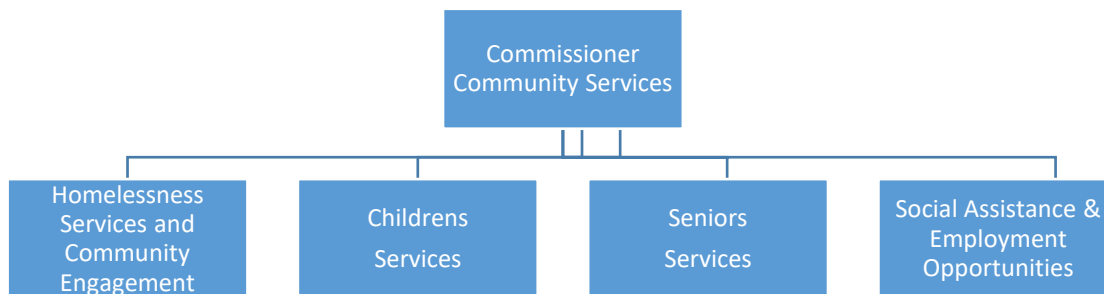


Chart 12: Community Services Organizational Chart as of November 13, 2016



Appendix 5 - Niagara Region Approved FTE Increases – Schlange Years of Change

Item	# FTE	Comments
Approved FTE in 2014 Budget		
Public Works	1	1 FTE - Engineering and Transportation Services to assist with Capital Projects
Public Health	2	3 FTE assigned to address increasing caseload volumes 2 FTE - fleet management and pharmacy needs
Approved FTE in-year 2014 with Authorization from Council		
Public Health	20.6	16 FTE - paramedics to support two new 24-hour ambulance crews 2 FTE - Operations Supervisors to oversee the ambulance crews 0.6 FTE - for Healthy Smiles Assistant
Public Works	3	2 FTE - Mental Health Early Psychosis Intervention service 3 FTE - Water/Wastewater additional support
Corporate	-30.3	-30.3 FTE - Corrections made for corporate consistency relate to temporary, student or trainee positions that were included in the 2014 FTE budget
Approved FTE in 2015 Budget		
Corporate Services	3	1 FTE - Legal Services to transition the temporary claims examiner to permanent 1 FTE - Properties Management for a Mechanic position to support the new NRPS HQ/2 District building in Niagara Falls 1 FTE - IT Solutions for a Project Manager for infrastructure growth
Public Health	21	16 FTE - paramedics to support two new 24-hour ambulance crews 2 FTE - Operations Supervisors to oversee the ambulance crews 2 FTE - logistical/regulatory staff in EMS
Planning & Development Services	2	1 FTE - transition from temporary to permanent to engage primary care service providers 2 FTE - transition from temporary to permanent to support the review and approval of official plans and zoning by-laws
Community Services	18.3	17.3 FTE - fully funded Personal Support Workers within Seniors Services 1 FTE - transitioning a temporary position to permanent in homelessness programming and reporting

Appendix 5 - Niagara Region Approved FTE Increases – Schlange Years of Change

Approved FTE in-year 2015 with Authorization from Council

Public Health	15.5	15.5 FTE - fully funded positions within Mental Health Program to create a full Assertive Community Treatment Team (ACTT) and Early Intervention services for young adults (ages 16+)
Community Services	6.2	6.2 FTE - Provincially funded positions to support bringing the kitchen services in-house to Deer Park Villa as the result of the West Lincoln Memorial Hospital no longer providing contracted services
Public Health	-20	-20 FTE - EMS approvals in 2015 Budget that were deferred
Corporate	-1.7	-1.7 FTE - Reduction of previously funded positions historically funded through gapping

Approved FTE in 2016 Budget

Community Services	33	28 FTE - transition from temporary to permanent for staff within Social Assistance & Employment Opportunities as the result of increasing caseload volumes and the union not agreeing to extend the temporary status beyond 2 years 5 FTE - new positions within Social Assistance & Employment Opportunities to address increases to caseloads and SAMS software
Planning & Development Services	1	1 FTE - to maintain existing service levels
Public Works	1	1 FTE - transition from temporary to permanent for Transportation Construction Inspector
Public Health	12	8 FTE - paramedics for 1 ambulance 2 FTE - Operational Supervisors 2 FTE - Logistical staff EMS
Corporate	-2.3	-2.3 FTE corrected in accordance with new workforce planning management model
Public Health	-1.5	-1.5 FTE - adjustment to FTE replacement hours

Approved FTE in-year 2016 with Authorization from Council

Corporate	-52.8	-52.6 FTE - revised to eliminate EMS replacement pay hours
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Total Approved Increase to FTE as originally reported: 143

Adjustment due to deferral of 20 EMS FTE -20

Total Reductions in FTE: -88.6

Net Change in FTE: 34.4

Appendix 5 - Niagara Region Approved FTE Increases – Schlange Years of Change

The 20 FTE reduction for EMS is due to the 20 FTE originally noted as approved in the 2015 Budget that was deferred

Note: Systems used prior to 2015 are no longer supported, as such the information shown is accurate to the information presented to Council and made available to the public in Annual Budget Summary documents.

Niagara Region Approved FTE Increases – Schlange Years of Change Years does not include FTE movement within departments, cross-departments or reductions in FTE that may have occurred as a result of program changes and/or improvements in practices and procedures related to how FTE were captured in particular with respect to the distinction between permanent and temporary FTEs. FTE are reconciled yearly to account for all of these changes and are accurate as per the adjusted FTE counts noted in the Annual Budget Summary documents.

Appendix 6 – Department Adjusted Budgeted FTEs – Schlange Years of Change

Department	2013 Adjusted Budgeted FTE	2014 Adjusted Budgeted FTE	2015 Adjusted Budgeted FTE	2016 Adjusted Budgeted FTE	FTE Change since 2013 - Schlange Years of Change ¹
Corporate Administration	13	96.7	95.7 9 (T)	98.3 5 (T)	+ 85.3
Corporate Services	212.5	194.4	197.3 35 (T)	204.9 13.2 (T)	-7.6
Public Works	477.8	451.8	452.8 16 (T)	449.2 12 (T)	- 28.6
ICP/Planning	56	34	36 1 (T)	37 -	-19
Public Health	648.1	667.2	687 2.8 (T)	641.2* 3.2 (T)	-6.9
Community Services	1131.6	1093.7	1113.5 32 (T)	1143 10.3 (T)	+11.4
Niagara Region + Court Services	2539	2537.8	2582.3 95.8 (T)	2573.6 43.7 (T)	+34.6

¹ – 2015 was the first year that Temporary FTE were reported on in the Annual Budget, therefore there is no known change in Temporary FTE since 2013.

(T) Indicates Temporary FTE

* Adjustments made to the FTE reporting for EMS to comply with standard FTE reporting practices. There were no actual decreases in FTE and differences are the result of reporting changes.

The Niagara Region + Court Services FTEs reported above are the adjusted budgeted FTE for all employees of the Niagara Region in addition to employees of Court Services (Court Services FTE are reported under Agencies, Boards and Commissions). Court Services is included as it operates as within Corporate Services under the Legal & Court Services division. All other FTEs reported under Agencies, Boards or Commissions (ABCs) were not included in the reported Niagara Region FTE

Notes:

Corporate Administration FTE includes Governance FTE and Economic Development

Corporate Services FTE includes Court Services FTE

Public Works FTE include Levy and Rate

Chart 13: CAO Direct Reports as of December 14, 2018



Chart 14: Administration-Corporate Services Organizational Chart as of December 14, 2018

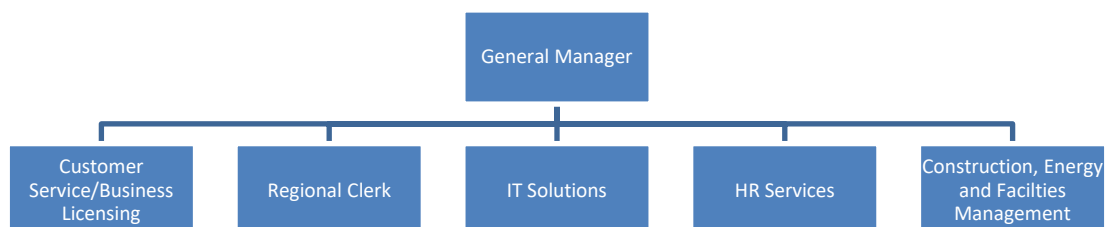


Chart 15: Enterprise Resource Management Services Organizational Chart as of December 14, 2018

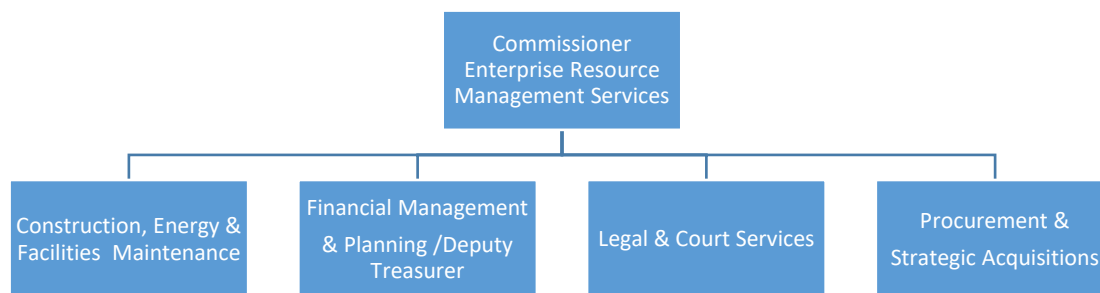


Chart 16: Public Works Organizational Chart as of December 14, 2018

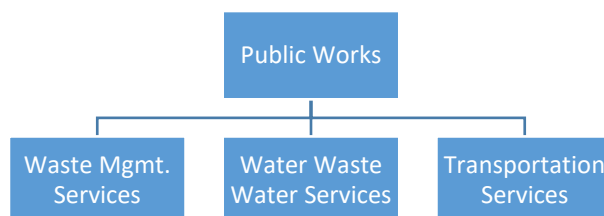


Chart 17: Planning and Development Services Organizational Chart as of November 14, 2018

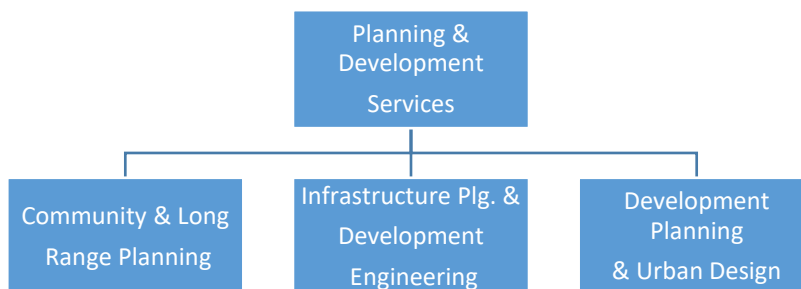


Chart 18: Public Health Organizational Chart as of December 14, 2018

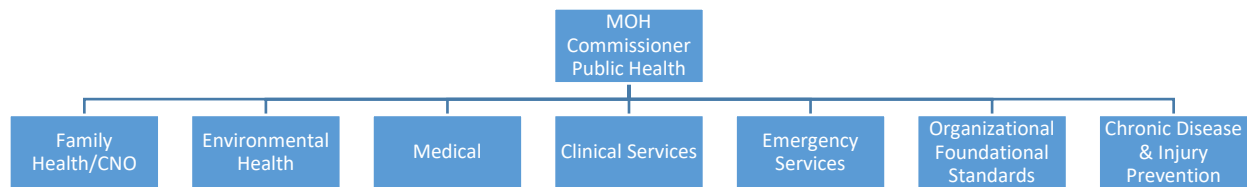
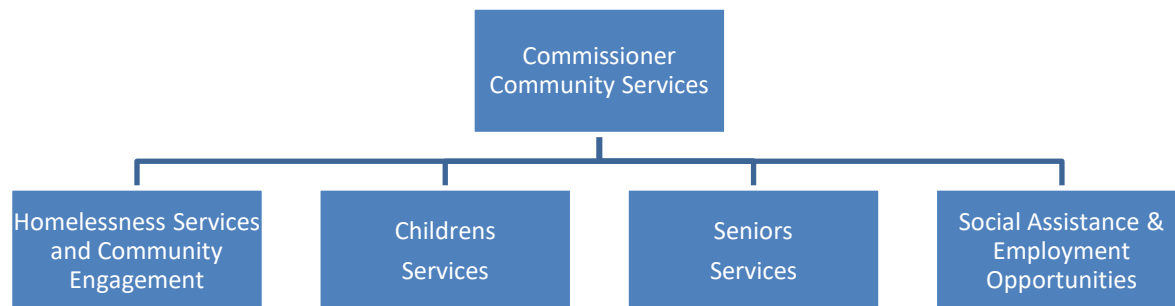


Chart 19: Community Services Organizational Chart as of December 14, 2018



CAO 18-2020 Appendix 8 – Niagara Region Approved FTE Increases – D’Angelo Years

Item	# FTE	Comments
Approved FTE in 2017 Budget		
Public Health	8	8 FTE - one new 24-hour ambulance crew
Public Works	3	1 FTE - Systems Maintenance required to operate the new NOTL wastewater treatment plant 2 FTE - Wastewater Operators to operate the new NOTL wastewater treatment plant
Corporate Services	2	2 FTE - Contract and vendor management 1 FTE - Support Global Attractiveness initiatives
Economic Development	2	1 FTE - Economic Development Officer to offer focused economic development services to the partner municipalities through Team Niagara
Planning & Development Services	1	1 FTE - Development Planner to meet legislated timelines given the increase in development applications
Approved FTE in-year 2017 with Authorization from Council		
Corporate Administration	5	5 FTE - identified in Confidential CAO Report - 2 ICOP; 1 Clerks; Communications 2
Community Services	6.9	5.9 FTE - funded positions to expand Early learning and Child Care programs 1 FTE - funded position to assist with the Home for Good program
Public Health	2.5	2.5 FTE - funded position for enhancements to Opioid Response
Approved FTE in 2018 Budget		
Public Health	9	8 FTE - one new 24-hour ambulance crew 1 FTE - Physician Recruitment and Retention position 1 FTE - transition for Facilities Supervisor from temporary to permanent FTE
Enterprise Resource Management Services	2	1 FTE - for Legal Counsel to assist with commercial/business and employment law 1 FTE - Landscape Architect
Planning & Development Services	7.5	0.5 FTE - Temp to Perm Expedited Development Approvals 5 FTE - Plan Review and Tree by-law enforcement 1 FTE - Development Relations

CAO 18-2020 Appendix 8 – Niagara Region Approved FTE Increases – D’Angelo Years

Item	# FTE	Comments
Public Works	9	5 FTE - water and wastewater Project Managers additional capital works are due to the Region's recently approved Asset Management Plan (AMP) recommendations, the recently approved Water & Wastewater Master Servicing Plan (MSP), as well as upper tier funding programs 1 FTE - Children's Water Festival and Water Sampling 3 FTE - Wastewater Operators required to maintain adequate staffing levels
Corporate Services	-6	-1 FTE - Court Services -5 FTE - Corporate downsizing efforts

Approved FTE in-year 2018 with Authorization from Council

Public Health	6	6 FTE - fully funded by the Province to be used to support the following programs: Youth & New Mothers, Addictions & Sexual Health, Topical/Emerging Issues, Administrative Support and One-time Projects.
Total Approved Increase to FTE:	63.9	
Total Reductions to FTE:	-6	
Net Change in FTE:	57.9	

Note: Niagara Region Approved FTE Increases – D’Angelo Years do not include FTE movement within departments, cross-departments or reductions in FTE that may have occurred as a result of program changes and/or practice and procedure improvements related to how FTE were captured. FTE are reconciled yearly to account for all of these changes and are accurate as per the adjusted FTE counts noted in the Annual Budget Summary documents.

Appendix 9 - Department Adjusted Budgeted FTEs – D'Angelo Years

Department	2016 Adjusted Budgeted FTE	2017 Adjusted Budgeted FTE	2018 Adjusted Budgeted FTE	FTE Change since 2016 – D'Angelo Years
Corporate Administration	98.3 5 (T)	33 2.8 (T)	38 0.3 (T)	-60.3 -4.7 (T)
Corporate Services	204.9 13.2 (T)	130.3 4 (T)	156.4 6.8 (T)	-48.5 -6.4 (T)
Enterprise Resource Management Services		149.9 6 (T)	115 1 (T)	+115 +1 (T)
Public Works	449.2 12 (T)	452.2 13.3 (T)	464.1 16.7 (T)	+14.9 +4.8 (T)
ICP/Planning	37	38 4.5 (T)	45.5 4 (T)	+8.5 +4 (T)
Public Health	641.2 3.2 (T)	651.7 3.9 (T)	663.7 2.8 (T)	+22.5 -0.4 (T)
Community Services	1143 10.3 (T)	1148.9 9.8 (T)	1148.9 7.3 (T)	+5.9 -3 (T)
Niagara Region + Court Services	2573.6 43.7 (T)	2604 44.3 (T)	2631.6 39 (T)	+58 -4.7 (T)
Union/Non-Union Breakdown	2050.76 (U) 574.80 (NU)	2002.65 (U) 601.25 (NU)	2008.52 (U) 623.08 (NU)	-42.24 (U) +48.28 (NU)

(T) Indicates Temporary FTE

(U) Indicates Unionized position (NU) indicates Non-Union position – This reporting can be done from 2016 onward due to improvements in the Financial Management System

Notes:

Corporate Services FTE includes Governance FTE

Enterprise Resource Management FTE includes Court Services FTE

Public Works FTE include Levy and Rate

Chart 20: CAO Direct Reports as of January 31, 2020

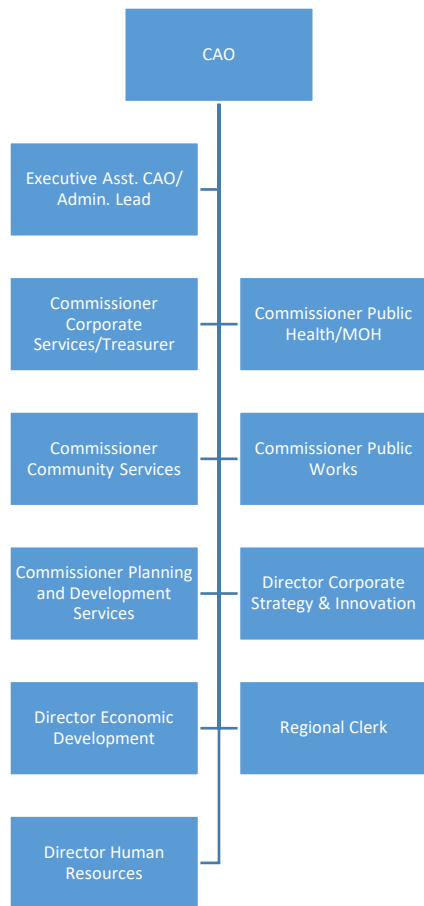


Chart 21: Corporate Services Organizational Chart as of January 31, 2020

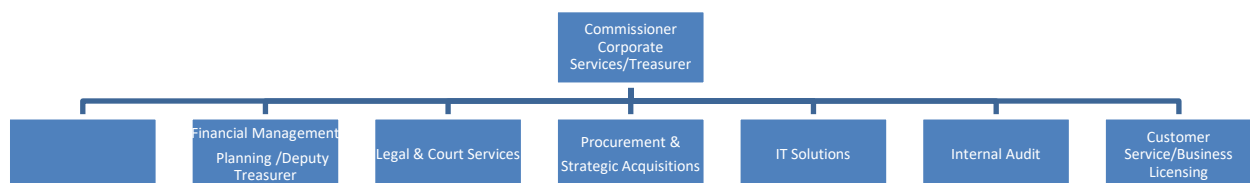


Chart 22: Public Works Organizational Chart as of January 31, 2020

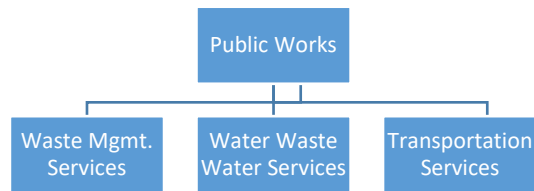


Chart 23: Planning and Development Services Organizational Chart as of January 31, 2020

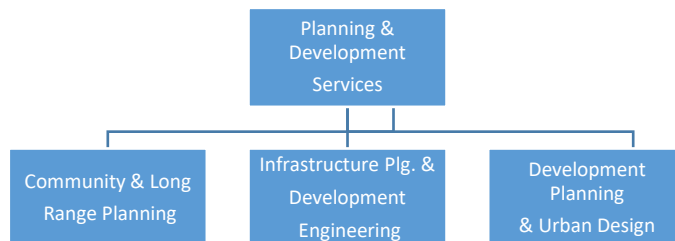


Chart 24: Public Health Organizational Chart as of January 31, 2020

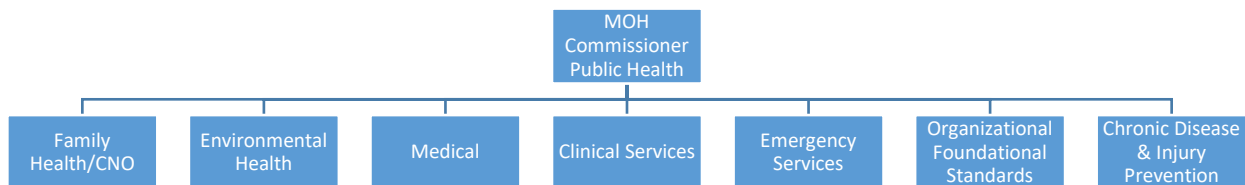
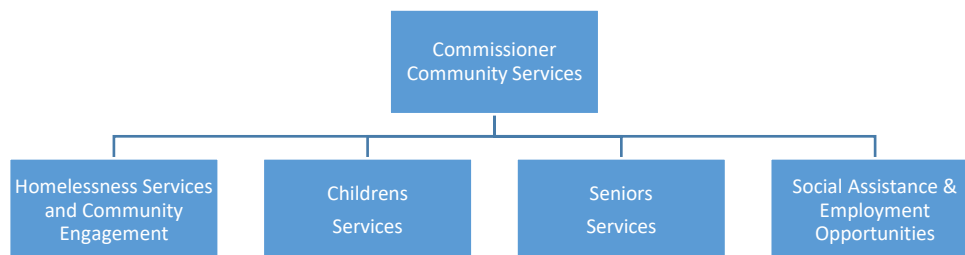


Chart 25: Community Services Organizational Chart as of January 31, 2020



CAO 18-2020 Appendix 11 – Niagara Region Approved FTE Increases – The Present

Appendix 11 – Niagara Region Approved FTE Increases – The Present

Item	# FTE	Comments
Approved FTE in 2019 Budget		
Corporate Services	5	5 FTE - Business Licensing
Community Services	14.1	14.1 FTE - Seniors Front Line Staff
Enterprise Resource Management Services	7	7 FTE - Asset Management Office
		3 FTE - Contract Administrations & Inspector
		1 FTE - Engineering Technician
		1 FTE - Surveys and Mapping Analyst
		1 FTE - Permits Technician
		1 FTE - Energy Project Manager
Public Works	21	3 FTE - Water System Maintainers
		3 FTE - Water System Operators
		1 FTE - Wastewater Quality Management Specialist
		3 FTE - Wastewater Systems Maintainers
		2 FTE - Wastewater System Operators
		2 FTE - Environmental Enforcement Officers
Public Health	1	1 FTE - Fleet Equipment Custodian
Corporate Administration	-1	-1 FTE - Human Resources - reduction
Approved FTE in-year 2019 with Authorization from Council		
Public Health	3.4	3.4 FTE - to record revenue and related expenditures related to the Ontario Seniors Dental Care program from the Ministry of Health and Long-Term Care
Approved FTE in 2020 Budget		
		2 FTE - within Mental Health to support suicide awareness programs
Public Health	5	2 FTE - funded by LHIN to support mental health
		1 FTE - Manager/Commander of Clinical Programs to support the EMS System Transformation
		1 FTE - for Financial Management and Planning to assist with the Community Benefit and Development Charge Administration
Corporate Services	15	1 FTE - for Facilities Maintainer to provide maintenance and coordination for the GO Stations as a result of GO Transit Phase 1
		12 FTE - within Court Services to support Vision Zero Road Safety Program

CAO 18-2020 Appendix 11 – Niagara Region Approved FTE Increases – The Present

		1 FTE - for Facilities Maintainer to provide additional maintenance and coordination at Regional Headquarters
		2 FTE - transition temporary waste collection and diversion advisors to permanent FTE
Public Works	6	1 FTE - Integrated Services Manager
		1 FTE - transition of temporary Transportation Services Coordinator to permanent
Corporate Services	-8	2 FTE - Vision Zero Road Safety Program
		-8 FTE as the result of Organizational Restructuring
Total Approved Increase to FTE:	77.5	
Total Reductions to FTE:	-8	-8 FTE with ICOP restructuring
Net Change in FTE:	69.5	

Note: Niagara Region Approved FTE Increases – The Present do not include FTE movement within departments, cross-departments or reductions in FTE that may have occurred as a result of program changes and/or practice and procedure improvements related to how FTE were captured. FTE are reconciled yearly to account for all of these changes and are accurate as per the adjusted FTE counts noted in the Annual Budget Summary documents.

12 FTE in Court Services and 2 FTE in Public Works are approved under Vision Zero which has been deferred due to the pandemic.

CAO 18-2020 Appendix 12 - Department Adjusted Budgeted FTEs – The Present

Department	2018 Adjusted Budgeted FTE	2019 Adjusted Budgeted FTE	2020 Budgeted FTE	FTE Change since 2018 – The Present
Corporate Administration	38 0.3 (T)	92.3 2 (T)	90.3 6 (T)	+52.3 +5.7 (T)
Corporate Services	156.4 6.8	228.2 6.6 (T)	237.3 8.6 (T)	+80.9 +2 (T)
Enterprise Resource Management Services	115 1 (T)	N/A*	N/A*	-115 -1 (T)
Public Works	464.1 16.8 (T)	485.1 14.7 (T)	492.1 20.2 (T)	+28 +3.4 (T)
ICP/Planning	45.5 4 (T)	45.5 5 (T)	45.5 5 (T)	- +1 (T)
Public Health	663.7 2.8 (T)	668.3 6.4 (T)	673.3 9.2 (T)	+9.6 +6.4 (T)
Community Services	1148.9 7.3 (T)	1163 12.3 (T)	1163 12.3 (T)	+14.1 +5 (T)
Niagara Region + Court Services	2631.6 39 (T)	2682.4 47 (T)	2701.5 61.3 (T)	+69.9 +22.3
Union/Non-Union Breakdown	2008.52 (U) 623.08 (NU)	2044.17 (U) 638.06 (NU)	2055.93 (U) 645.42 (NU)	+47.41 (U) +22.34 (NU)

(T) Indicates Temporary FTE

* Enterprise Resource Management Services was dissolved effective August 11, 2019

(U) Indicates Unionized position (NU) indicates Non-Union position - This reporting can be done from 2016 onward due to improvements in the Financial Management System

The Niagara Region + Court Services FTEs reported above are the adjusted budgeted FTE for all employees of the Niagara Region in addition to employees of Court Services (Court Services FTE are reported under Agencies, Boards and Commissions). Court Services is included as it operates as within Corporate Services under the Legal & Court Services division. All other FTEs reported under Agencies, Boards or Commissions (ABCs) were not included in the reported Niagara Region FTE

Notes:

Corporate Administration FTE includes Governance FTE

Corporate Services FTE includes Court Services FTE

Public Works FTE include Levy and Rate